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APPROACHES TO APPROPRIATE EVALUATION

·A REPORT ON A SERIES OF WORKSHOPS ON EVALUATION

APRIL 1978

American Council of Voluntary Agencies for Foreign Service, Inc.
Technical Assistance Information Clearing House

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Sponsored by
the Committee on Development Assistance
of the
American Council of Voluntary Agencies for Foreign Service, Inc.

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Edited by
Maryanne L. Dulansey
Consultants In Development

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THE AMERICAN COUNCIL OF VOLUNTARY AGENCIES FOR FOREIGN SERVICE, INC. (ACVAFS), was founded in the United States of America November 1943 and incorporated June, 1944, for the purpose of providing a forum for cooperation, joint planning and the exchange of ideas and information, in order to avoid duplication of effort and assure the maximum effectiveness of the relief, rehabilitation and development programs of American voluntary agencies following World War II. The Council is organized as a confederation of member voluntary agencies and is governed by a Board of Directors composed of one designated representative from each member. It is supported by its membership under a system of scheduled graduated fees mainly based on overseas program costs.

Three standing functional committees on which each member has the privilege of representation form the basis of Council activity as an instrument for exchange and joint planning: the Committees on Refugee and Migration Affairs, Material Resources and Development Assistance. Ad hoc committees on geographical or other functional areas are established as needed (e.g. Subcommittee on the Sahel, Subcommittee on Women in Development, Committee on Tax Legislation).

Through the mechanism of the Council, member agencies have established relationships not only among themselves but also with non-member agencies and governmental, intergovernmental and international organizations. Since 1955, the Council has operated the Technical Assistance Information Clearing House under contract with the U.S. Agency for International Development.

THE TECHNICAL ASSISTANCE INFORMATION CLEARING HOUSE serves as a center of information on the socio-economic development programs abroad of U.S. non-profit organizations, including voluntary agencies, church missions and foundations. It makes available to organizations, government, researchers and others, source materials from its files for study and research. Through publications and the maintenance of an everyday inquiry service TAICH responds to the need for current information about development assistance with particular reference to the resources and concerns of the private, non-profit sector.

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INTRODUCTION

This publication is a product of a series of workshops on Evaluation sponsored by the Committee on Development Assistance of the American Council of Voluntary Agencies for Foreign Service Inc. held December 1976, June and October 1977.

Although the Committee periodically holds workshops on development issues of special interest to the voluntary agency community, this is the first time a report has been published from such workshops. The Technical Assistance Information Clearing House is pleased to respond to the need to share the learning experience of the workshops with a wider audience, especially those working overseas.

Evaluation is an important part of development work. By sharing what we know, how we feel about our experiences with evaluation of various types, and listing the still-unanswered questions, we hope to help make our work better.

Several participating agencies and individuals have updated and revised the materials which were originally presented. We thank all those who contributed their time, writings, ideas and enthusiasm. A special word of acknowledgement is due the workshop chairpersons--Nancy Nicalo, Charles MacCormack, Don Miller--and especially Dao Spencer, the ACVAFS staff person who has been both the guiding light and the cement holding this endeavor together.

I freely admit responsibility for misinterpreting workshop participants, and can only hope that in the fashioning of this report I have captured a fair representation of the "state of the art" of evaluation in the voluntary agency community, even as it is changing to better serve our needs.

Maryanne Dulansey, Editor
Consultants in Development

F O R E W O R D

WHY EVALUATION?

Edgar Stoesz, Mennonite Central Committee, Discussant*

Every serious endeavor deserves to be evaluated, to be put to the test. The marksman just doesn't keep shooting, he stops occasionally to tally the score. Doctors must submit themselves to the judgment of the pathologist. Baseball teams have a statistician to keep track of averages. Business keeps its balance sheet current. In this same vein, development too is a serious human endeavor and must stop to evaluate its effectiveness. It must not be like sand lot baseball and just keep playing until it gets dark.

Development is not a science, nor will it ever be. It is in part a trial and error process. This is disconcerting enough but pardonable. What borders on the unpardonable is not to learn from our mistakes and thus to repeat them.

Evaluation is basically asking, what works? What is not producing good results? What new issues need addressing? What has served its purpose and should be discontinued? Evaluation is asking, are we making progress toward identified goals? Are the goals themselves appropriate? Are the available resources appropriate to the task? Only by seriously asking these questions can development hit the mark.

Development must do a better job of gathering together the learnings of an activity and add them to the body of what is known and thus reduce the error factor.

Basic as evaluation is, we must be fair to ourselves and admit that there are some special problems in evaluating development activities. We are trying to evaluate programs which were never designed to be evaluated. They did not have either stated goals or baseline information. It is also true that Americans are impatient and have a tendency to look for early results.

The rapidly changing world scene also complicates program planning and evaluation. The needs of the seventies, and the constraints within which development functions, are different than in the fifties. It is not useful to attempt to re-enact the past but feedback mechanisms must be sensitive and read frequently. They must constantly influence program planning.

*Based on remarks at the first Evaluation Workshop.

Evaluation deserves to be part of the administrative process. Budget planning needs to be done in the context of program evaluation since it is the process by which an agency commits its resources. The periodic administrative visit from headquarters permits another occasion for evaluation. However, since there is always the tendency for persons involved in the administration of a program to rationalize its effectiveness, there is also value for the occasional "outside" evaluation. An outside evaluator is not as bound by the administrative implications, and that can be either good or bad. It is good in that it provides a new perspective but it may also prove to be impractical. It is neither necessary nor useful for a program to be subjected to outside evaluation frequently if evaluation is a part of the ongoing administrative process as recommended.

Finally a word to encourage the evaluation of failure as well as success. In fact, more is to be learned from failure, though the tendency is to "cut our losses and be off to more productive pursuits." A more enlightened approach to development must include learning from our mistakes.

We must evaluate development because development is concerned with people: with their hopes and aspirations, their hurts and disappointments. The resources available to address an unlimited task are limited. May God give us strength to accomplish the most with the resources and opportunities available.

Chapter One

THOUGHTS ON PROGRAM EVALUATION

Donald Miller, MAP International, Discussant

People who design and operate development programs are repeatedly faced with decisions. The fundamental purpose of evaluation is to help these people make better decisions. It is not the function of evaluation to actually make those decisions but rather to identify alternatives and present information which will help decision-makers make better decisions.

Decisions occur in several dimensions. Five classes or categories of decisions have been identified which are necessary in program development: 1. systems assessment; 2. program planning; 3. program implementation; 4. program improvement and 5. program certification (Alkin). There is considerable agreement, however, that program improvement is the function for which evaluation is most important. To call in an evaluator post hoc merely to measure final outcomes is making meager use of his services. Even comparing one program against another is less important than using evaluation to bring either one closer to perfection.

Ward and Dettoni speak to the same point in more detail. They begin with two basic assumptions: 1. a development program is an imperfect venture, achieving somewhat less than competently what its operators intend; 2. the most important purpose of evaluation is improvement of the operation. The most important judgments to be made are those that relate to factors which can be altered.

Both the theoretical underpinnings and the operational systems need to be under constant review. That review is the function of repeated evaluative feedback whose chief purpose is to facilitate realignment and improvement of programs which are in progress.

That means that evaluation must give itself to solving real problems. In order to do so, its functions need to be clearly designed; its purposes agreed upon by all parties concerned; its staff adequately selected and trained. Otherwise evaluation will produce data but will be relatively useless to program management. In brief, program evaluation is concerned with the practical and the immediate.

Evaluation can and ought to raise practical questions and sensitize program planners to real issues. In an effort to be practical and relevant, evaluation must go beyond the offered statements of goals and tease out the additional, unwritten (and perhaps unperceived) concerns and purposes of the program. Otherwise, some important practical issues will go unrecognized and unexamined.

People who work in a program are uniquely capable of formative evaluation functions. An evaluation specialist may help design and even facilitate the evaluation system. But the program staff is best suited to collect formative evaluation data on a regular basis and make program improvement decisions on the basis of that information. Formative evaluation is central to the planning-review-replanning cycle which will help keep a program relevant and enhance its effectiveness. Contrary to a prevalent idea, an evaluation specialist will be able to facilitate formative evaluation better if he is engaged early during initial program planning rather than after the program has been functioning for some time.

Whereas there is considerable emphasis on program improvement, or "formative" functions of evaluation, it is not to be understood that this is its only role. Alkin identifies program certification as one of the important areas for evaluation. Scriven emphasizes the "summative" role of evaluation. After quoting Cronbach who praises the role of evaluation for program improvement rather than for terminal assessment, Scriven says, "Fortunately, we do not have to make this choice. Projects...clearly must attempt to make the best use of both these roles."

In summary, formative evaluation is crucial to the effectiveness of development programs. Summative evaluation is also important. The formative helps make operating systems more effective. The summative accommodates questions of accountability and replicability.

A Process of Comparison

Evaluation is a process of comparison. A criterion is first established, then the program is compared to that criterion. The major criterion used for evaluation purposes is the pre-stated objective or intended outcome. Goal-setting is a process of deciding what is intended to occur as a result of a program. Evaluation compares actual accomplishments to intended accomplishments and reveals the extent to which the intended has actually occurred.

A good plan will make statements about its intentions in several categories. The plan will identify the intended beneficiaries, intended activities, intended resources, intended time-frame. Each of the intention statements becomes a criterion which can be used for evaluation. The following evaluation questions emerge from those criteria: Are the people who are intended to benefit the ones who actually benefit from the program? Are the new, improved conditions which are intended to accrue actually accruing? Are the intended program activities actually occurring in the way they were intended? Are the resources which were forecast actually available? Are things occurring according to the intended time-frame?

Making Judgments

Comparing is not judging. A comparison will result in a statement about whether a criterion has been met. But comparison does not say whether it is good or bad that a criterion has or has not been met. Such a judgment brings a value position to bear on the comparison. Evaluation must identify value positions, suggest what is more and less worthy, and make value judgments about the accomplishments or non-accomplishments of intentions.

An intended outcome may occur -- the question is whether this is good or bad; an intended outcome may not occur -- the question is whether this is good or bad. Obviously, when the plans were first articulated it was thought it would be good to achieve the intended outcome as stated. But down the road, is that objective still thought to be a worthy one? It is dangerous to assume that it is always good if intentions actually occur and always bad if they do not. Evaluation needs to assess and examine the values which underlie the program. Non-achievement of an objective could indicate that the program has been deficient and needs modification, or that the objective is no longer worthy of achievement in its present form in light of new value perceptions.

Evaluation provides an occasion to examine the values which underlie a program, identify shifts in conditions or perceptions which affect values, and help program planners consider issues of worth as well as effectiveness.

Scope of Evaluation: Comprehensive, Yet Selective

Evaluation is comprehensive in scope. Every element of a program is appropriate for evaluation including activities, resources and schedule as well as ultimate achievement. Stake even suggests that the full context in which the program occurs should be open to evaluation.

Evaluation should extend to the fundamental worth of a program. The very objectives of a program need to be scrutinized in order that judgments be made about their worth.

Obviously, if evaluation processes were to identify, describe, measure and ascribe value to every element of a program, the evaluation task would become monumental and very much out of balance with the rest of the system. Hence, in order to keep evaluation in balance with the rest of the system, it is necessary to select only the more crucial elements to include in an evaluation. Ward and Dettoni suggest that before information collection processes begin each element be subjectively considered in light of the question, What difference would it make? Only those elements thought to be crucial to the overall system will be selected for more detailed review and evaluation, thereby reducing the number of elements for which information collection processes will be implemented.

Appropriate Methodology

Evaluation calls for the collection and processing of information. Thus a question of methodology emerges: Which data collection and analysis methods are appropriate for evaluation functions? A range of methodologies has been developed for basic research. However, the function of evaluation is different from basic research. It cannot be assumed, therefore, that basic research methodologies are always appropriate for evaluation.

For example, basic research leans heavily on experimental methodology. But, in the context of evaluation it is often problematic to satisfy the demands of true experimentation. To illustrate: development programs are usually administered to intact communities. To randomly divide community members for the sake of experimental treatment is rarely possible. Furthermore, it is seldom feasible to randomize whole communities because there are too few communities to achieve an adequate sample size in each cell, or because it is logistically impossible to do so. Any other approach to experimentation (such as matching members of one community to those of another) is compromise, at best, and should be pursued with caution.

Survey methodologies are sometimes appropriate for evaluation. But when populations are relatively inaccessible to measurement (like audiences to mass media in developing countries) other sources of information are being suggested. Small groups of people arbitrarily chosen from a larger population have accurately described certain characteristics of the larger group (Miller). In traditional cultures, where there is considerable homogeneity within the population and where literacy and media exposure are not high, arbitrarily selected subsets of the population and/or informed secondary sources may constitute a source of relatively reliable information about population groups which have not been widely tapped as yet for evaluation purposes.

Information used for program evaluation needs to faithfully represent the feelings and values of the people among whom the program is to operate. Where the people themselves actively participate in information collection and interpretation, their feelings and values are much better represented in the findings. Typically, experimental and survey methodologies allow less opportunity for meaningful participation and interaction than other methodologies. More-participatory methods of information collection are often more useful for evaluation than less-participatory methods.

There is no single approach to information collection which is wholly adequate for program evaluation. Information needed for evaluation purposes is a function of the program being evaluated, its context and the evaluation model being employed. The evaluator's task is to select methods which are appropriate to the nature of the information he needs. For some needs statistical methodologies (i.e. the experiment or survey) are appropriate. For most evaluation information needs non-statistical, more-participatory methods are appropriate. "...the concepts and techniques that will serve evaluation have roots in philosophy, sociology, anthropology, linguistics, history, and economics as well as psychology (Stake and Denny)." Program evaluation calls for multiple methodologies.

The Evaluator and His Role

The evaluator is often viewed as a specialist in data collection and measurement. And appropriately so, for the evaluator's role includes those functions. However, there is considerable agreement among writers in the field of evaluation that the evaluator's role should be considerably broader than just data collection and measurement.

Reference has already been made to the comprehensive scope of evaluation. The evaluator's input is appropriate throughout the entire design-implementation-modification process. Gooler and Grotelueschen identify five roles for the evaluator: to raise questions, collect data, interpret data, judge values, and judge responsiveness of audiences. As a raiser of questions, the evaluator seeks to sensitize program planners and cause "...a lot of concern about justifying, explaining, relating."

Stake stresses the role of the evaluator in judging. Describing is not enough. The evaluator must also make judgments and communicate them to the curriculum development team. But the task of judging should not be left to the evaluator alone. Evaluation should be a team endeavor. The evaluator's role is to participate with that team and lead it in the evaluation process toward group judgments and decisions that will improve the program. The evaluator offers help both in prescribing change and in effecting that change.

These roles call for evaluators to have a broad range of skills. For data collection and measurement roles the evaluator needs skills in general research methods, social science research strategies and instrument design (Stake & Denny). He should be well-informed with a sensitivity to people, their needs and the societies from which they come (Stake).

In his role on the planning and design team the evaluator needs to be a group specialist, knowledgeable and skilled in the communication of change.

A Useful Model

In writing about evaluation a number of authors have formulated their concepts into models which aid in the understanding and implementation of evaluation. The model discussed by Ward and Dettoni is particularly useful.

Focusing on evaluation procedures, Ward and Dettoni identify four operations of evaluation (Figure 1). "...the base or first stage is description; on this is built measurement; on measurements are built assessments; and then, by bringing value positions to bear on the assessments, one can make evaluations."

Descriptions are often verbal and are inadequate for comparative analysis in that form. Measurement quantifies variables so that comparisons can be made. Comparisons might be made between two individuals or between two measures taken at different times on one individual. Comparing the measurements constitutes assessment of change which has (or has not) occurred. The assessment of differences is not adequate, however, without ascribing value to those differences. Hence, a value position must be brought to bear in order to judge the relative goodness of the measured differences.

The model suggests that objectivity in evaluation is neither possible nor desirable. Project planners, implementers and evaluators all work from a value position. It is important to identify those value positions. It is especially important for evaluators who are not part of the program implementation staff to know and respect the value position of the project staff. If there are divergent value positions among involved people, evaluation will create more problems than it will solve.

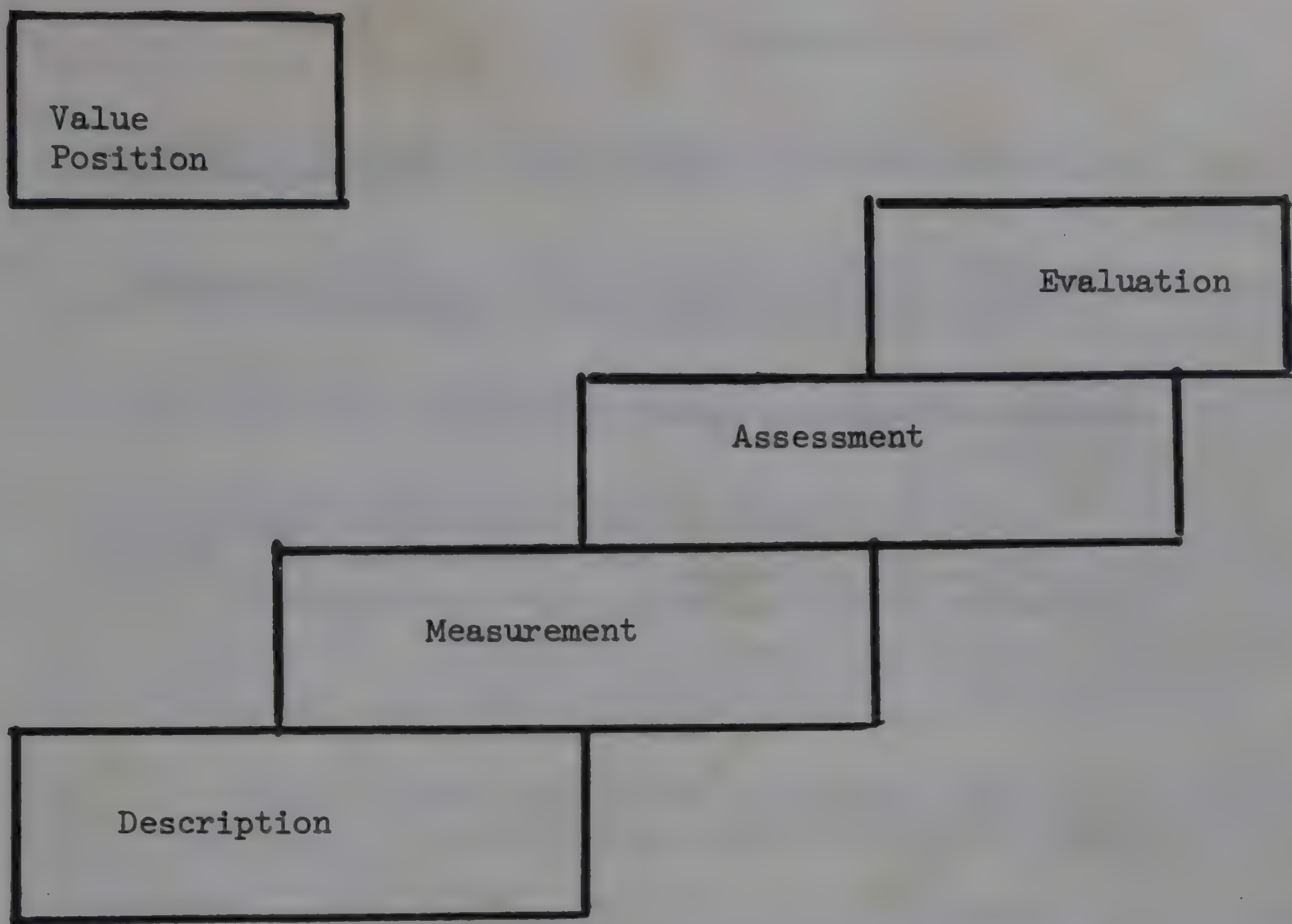

Fig. 1. The four operations of evaluation (Ward & Dettoni).

Conclusion

Evaluation is crucial to the effectiveness of development programs. Evaluation can provide project planners with information and insights with which to make sound decisions about program improvements.

Evaluation needs to be compatible with the objectives and resources of the program, and with the culture and conditions among the project target population.

An evaluator should view himself more as a process facilitator than as a judge. As such, evaluation becomes a function which is integral to the project, performed largely by the project staff and perceived as truly helpful rather than threatening.

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Chapter Two

EVALUATION AS PART OF PROGRAM PLANNING

The greatest difficulty in attempting to evaluate on-going programs or projects is that, until lately, voluntary agencies neglected to state goals clearly. This lack of precise goal statement made it extremely difficult to undertake an evaluation. One had to go back and reconstruct the supposed goals in order to proceed. And, in many cases, the apparent goals shifted during the course of the project or program. Sometimes goals conflicted. The first step on the way to evaluation is to structure programs with clear, precise, and measurable goals. Three cases of evaluation as part of program planning follow.

A. CODEL Project Process and Evaluation System

Barbara Magner, CODEL, Discussant

CODEL has demonstrated that it can be an effective instrument of collaboration among twenty-five member organizations and other project managers and participants in the field. This brings to bear on the development process the human, physical and financial resources of varying groups and individuals. The considerable emphasis given by CODEL to promote collaboration stems from the recognition that a) development resources are available in varying amounts from various sources which have different views and experiences and b) within a single project or set of projects there are numerous "factors," from the participants at the local or village level, to project staff, to church organizations and government officials within the project country, to funding sources or informational sources in the United States and elsewhere. In the building of CODEL's capability to test systems of project identification, design and implementation, the critical element is the further development of collaboration among all concerned.

CODEL's project system -- devised in consultation with Development Alternatives, Inc. -- in its present stage consists of a Project Nomination Form, which provides for identification and weighing of all collaborative elements at four levels -- local, regional, national and international -- among communities, individuals, churches, agencies, government counterparts, donors, and other resource agencies.

Other project process documents, particularly the Project Data Summary and Implementation Form, are intended to help CODEL staff map the project design and implementation elements, including the collaborative aspect, in such detail as to provide for CODEL and for project managers the data by which development change and project progress can be monitored.

In the immediate future, CODEL plans to continue to refine its general project process and information system in several ways. The first way is to adapt its design and evaluation forms. As recommended in the Nathan Evaluation, the adaptations are to achieve greater applicability in the field for the "small project" of up to $10,000, for the "medium project" of $20,000 to $150,000, as well as for large scale projects.

The thrust of all essential project documentation is three-fold:

1. to assist staff to identify and analyze project components clearly and quickly;

2. to communicate in this process with project managers in a mutually supportive and mutually educative manner; and

3. to increase the flow of development information throughout the network.

This CODEL evaluation process is to be seen as one that is both creative and strengthening. The important contribution that project managers can make to the CODEL experiment is in permitting us to share with them the close observation of project activity and collection of project data, which will contribute to the overall evaluation of the collaborative impact on the development process.

Thus, in addition to working on a flexible project evaluation system, CODEL will in future give particular emphasis to increasing its information capability. This system, too, will focus on three levels:

1. the development impact of the individual project;

2. the CODEL impact on the project; and

3. the effectiveness of the collaborative style.

This last emphasis should allow for comparison study across the individual evaluation reports to provide an overall evaluation of CODEL's progress and problems in achieving "Coordination in Development."

B. Planning as an Organizational Management Tool

Ralph Devone, CARE, Discussant

Introduction

CARE operates under a multi-year planning system that stresses the importance of evaluation as an essential tool for effective programming and project management. Evaluation is not viewed simply as an ex post facto monitoring requirement but as a dynamic part of project execution. It is meant to establish at any particular point what results are expected and to provide prompt feedback of information as to whether these results have occurred. This permits modification and improvement of projects, when neccessary, to better assure achievement of realistic goals.

Problem-Oriented Programming

CARE programs deal with problems, expressed in human terms, that are associated with poverty and under-development such as poor education, poor health and nutrition, inadequate housing and community infrastructure, high population growth rates, low productivity, insufficient employment and income-earning opportunities, lack of effective community organization, and attitudes of over-dependence and apathy that frustrate problem-solving at the local level. The development and design of CARE projects in any particular country start with the selection of specific problems and priorities, and project evaluation encompasses not only the completion of project activities but their impact on these problems and the lives of the people involved. Under the CARE system, therefore, evaluation is viewed as responding to two sets of questions:

1. Did we do what we planned to do (carry out project activities)? If not, do we know why?

2. Did what we expected to happen actually occur (achieve project goals)? If not, do we know why?

Project Goals and Activity Targets

CARE project activities are expected to contribute to improvements in the human condition. Such changes are referred to as Final Goals and represent the ultimate justification of project activities. They define the intended improvements or changes in the lives of the beneficiaries toward which project activities aim to contribute. Examples of Final Goals are improved nutrition status, reduced incidence of disease, reduced mortality, increased income, increased literacy if that represents the highest level of change intended as a result of the

project. To the extent feasible, statements of Final Goals are quantified, indicating who will change and their number, how they will change and by how much, when they will change, and for how long.

All other quantified results intended to be achieved through CARE activities are referred to as Intermediate Goals. They deal with the causes of problems and they represent intended changes or conditions that are expected to occur or exist as a result of project activities which are necessary for the achievement of the project's Final Goal(s). Before nutrition status improves, for example, a number of other changes may be necessary such as better understanding, stronger motivation, more effective institutions, greater food supply, increased calorie and protein intake, or reduced incidence of gastro-intestinal disease, with different activities required for their attainment. Intermediate Goals give project design greater focus and permit earlier and contінous evaluation that enables implementers to determine whether projects are on course or whether they are in need of revision.

Under the CARE system, Project Activity Targets refer to the immediate results of project activities such as the number of people to be trained, the number of tons of food to be delivered, the number of water systems to be installed, etc. They indicate what will be done, how much, where and when.

Evaluation of Project Achievements

CARE projects are designed in the expectation that project activities will produce certain results called Intermediate Goals which, in turn, will lead to the attainment of Final Goals. While the completion of project activities is necessary, the success of a project lies in the attainment of its goals.

Project activities are not undertaken for the sake of the activities themselves or their immediate outcomes. Even a well-managed activity may contribute little or nothing to improving the human condition. Similarly, assumed impact of Intermediate Goals on Final Goals cannot be taken for granted. A project may be based on faulty or incomplete understanding of the problem and its causes, producing little or no effect. Evaluation of CARE projects, therefore, takes place at three levels: 1) the completion of Project Activity Targets; 2) progress toward the achievement of Intermediate Goals; and 3) progress toward the achievement of Final Goals.

Measurement of project activity and of goal achievement is planned for as an integral part of a project. Measurement is made against planned activity targets and expected goal results which are stated at the outset in the project proposal. Where not directly measurable, indicators are selected for each Intermediate and Final Goal by which progress toward their achievement can be measured or verified. In each instance necessary data is provided to establish what the situation or condition is at the start of the project.

The basic evaluation document under the CARE system is a trimestral report entitled Planning, Implementation and Evaluation Report. This report is included with the project proposal and indicates Project Activity Targets and expected progress toward Intermediate Goal achievement by trimester. The report is submitted trimestrally during each year of project implementation, comparing planned and actual achievements. A narrative is attached to each submission of the report explaining deviations between planned and actual achievements and assessing their implications for the project. Since Final Goals involve longer term changes, assessment of Final Goal achievement is submitted annually in a narrative form, substantiated by necessary data.

Evaluation Problems

Inadequate or non-existent information and data in many developing countries present a major problem in project evaluation. This makes it difficult to establish necessary baseline data against which to measure progress toward goal achievement.

The lack of comprehensive and accurate information and information sources also complicates the selection of pertinent and reliable indicators. Operating with limited resources, project implementers must avoid selection of indicators that would involve complex and costly measurement methods and techniques. In the face of such a prospect the task becomes one of selecting indicators that are manageable, that keep the cost of evaluation in proper proportion to over-all project cost, and yet provide reliable assessment of goal achievement. Often this is not an easy matter.

The long term nature of Final Goal achievement also presents a number of problems. Final Goal achievement may not be realized until well after projects have been implemented. This may involve extended post-project activity measurement. Further, many projects are experimental in nature and the relationship in such projects between project activities and Final Goal achievement is often tenuous, involving many determinants outside the project scope. This does not mean such projects should not be undertaken or that Final Goals not be established. However, it may mean that measurement of Final Goal assessment is not feasible or warranted.

C. Evaluation as a Component of the Project Planning Design

Pat Neu, Save the Children, Discussant

Save the Children Program Evaluation Process

Annual Project Planning Process

The revisions which have occurred during the past year in Save the Children's annual project planning and reporting procedures have built into the system the potential capability of monitoring project progress to date and of assessing project results. A Project Description Form is completed for each project undertaken by the community people with the assistance of their Field Coordinator. This form has the capacity to be used by community people to include the following kinds of data on the management of project activities:

- a quantitative statement of the program condition.
- an estimate of the measurable or observable kinds of changes that would resolve the problem condition.
- an outline of anticipated activities necessary to create these desired changes.
- a listing of the approximate time and costs of these activities.
- a recognition of the calculated risks that the community committee is undertaking in carrying out the project.
- an understanding of the interrelatedness of social or economic problems, which the results of this project, together with other project activities, will begin to resolve.
- a statement of how the community will be able to continue this project after SCF funding is no longer available to the community.

This form is designed as a structured set of questions which the field coordinator and community people need to ask themselves prior to the commencement of a programming activity. In this way the Project Description Form acts as both a training experience in project design as well as a reporting document for the Westport office. It is the assumption of the design of the form that the answers to the questions raised in its format are necessary for the management of project activities.

a. Variables in the Utilization of the Project Description Form

The Project Description Form is a record which reflects one point in time in the on-going project planning and implementation process which is continually occurring in the community. There is a wide range of variation in the completion of this form due to the following factors:

- the cultural appropriateness of the design of the form.
- the ability of the field staff to understand and to apply these concepts.
- the ability of the field staff to communicate these concepts through their training efforts involving community people.
- the ability of the community people to understand and to apply these concepts.
- the extent to which the community and field offices have established a programmatic strategy for the sector in which a particular project is chosen.
- the extent to which there is a cultural gap between the value of having good analytic information for project management and the value of people's participation in the project design and data gathering process.
- the extent to which the agency is willing to risk failure and encourage experimentation in the selection, implementation and reporting of projects so that people are comfortable using the project design and reporting system as an evaluation mechanism.

Questions of cultural appropriateness in the conceptual design of Save the Children's planning and reporting procedures and variation in field capabilities in the completion of the planning format have been thoroughly discussed throughout the agency. The participation of field staff in the review and redesign of the forms used in program reporting is viewed as making a positive contribution to the development of Save the Children's community-based methodology. The planning and reporting upon project activities are one component of the management skills required of community people in order to continue project activities when the involvement of Save the Children in the community is completed.

The adaptation of the forms for local management needs of the field staff assures a higher degree of success in their training efforts with community people. Evaluation at the community level by field staff using a form with which they identify and feel comfortable will more readily be viewed by staff members and community people as a supportive component of an on-going project design and implementation process.

b. <u>Evaluation Indicators in the Current Planning Process</u>

Save the Children is currently at the point where it is beginning to assess which of the indicators listed below it desires to maintain and/or introduce into its program monitoring system:

<u>Project Inputs</u>

What were the actual inputs into this project

- from Save the Children?
- from the community? cash? in-kind?
- from other sources?

Were the amounts and kind of resources put into this project adequate to effectively carry out the project? How did the actual amount of funding and resources expended for this project effort compare to the planned estimates? Were the amounts and kinds of resources put into this project consistent with the programming priorities of the field office multi-year plan for the Impact Area? What was the relationship between the resources available to carry out this particular project and those available for other project efforts in this same general area of sectoral program planning?

When project analysis begins to move beyond the level of fiscal accountability and begins to involve an assessment of program activities and their impact, the Regional Directors in cooperation with the Field Directors will coordinate the program review. Technical resource staff will be brought in at appropriate times to assist in this program assessment and redesign process. Indicators which the Regional Directors, field staff and resource staff members will use to assess project results at the community level will include:

<u>Analysis of Project Activities</u> -

- Did the major activities that were planned to take place, actually occur?
- How closely did the planned project activities and costs reflect the actual activities and expenditures that took place?

- Did the kind of training outlined in the project plan effectively prepare the community people to carry out the project?

- Was additional training required? If so, what kinds of training and who was involved in these additional training activities?

- What was the response of the community to these activities?

- How many people directly participated in carrying out the project?

- How many people directly and indirectly benefitted from these activities? In what specific ways?

- What unanticipated benefits resulted from the implementation of this project?

<u>Assumptions</u>

- How were the constraints which confronted the implementation of this project overcome? Can this experience be applied to other situations?

- If the project didn't work out as well as was expected, what lessons were learned through the committee's efforts to affect situational factors beyond their control?

- Do the results of this project imply that the constraints identified in the project design were so overwhelming that a similar kind of project should be avoided in the future?

- If not, what other activities could have been carried out to lessen the constraints facing the implementation of the project?

<u>Purpose</u>

- Were the problem conditions in the community which led committee members to choose this project measurably improved during the past year?

- If so, what was the impact of this project in changing these conditions?

- How were the results of the project measured or described?

- Based on the actual events which took place, were the targeted objectives of the project plans realistic? If not, why not?

- Would it be useful to continue the project? Why or why not?

- Given that the project has had some positive impact, would a redesign of the project better enable the community people to achieve the results they desire?

- Do the results of this project provide improved baseline information for the redesign of this project as it seeks funding for the next fiscal year?

<u>Goal</u>

- To what extent has the long range social or economic problem which this project was addressing been affected?

- Do the results of this project have any impact on other problem conditions in the community?

- If so, would it be useful for community people to integrate the planning discussions of these interrelated project efforts?

- Has the training received by community people adequately prepared them to manage this project without further assistance from SCF? If not, what additional funding or training will be required before this can occur?

- Does the aggregate of projects included in the annual planning process support the targeted objectives of the multi-year plan for this Impact Area?

The planning and reporting structure of Save the Children is designed to provide information for decision-making. The structure of the ongoing evaluation process is being designed to facilitate the asking of questions with the intent that the answers to these questions will lead to improvement in the management of the program. An important issue in this regard is that the people who are involved in the program assessment process are the people who will be involved in the continued management and implementation of the project.

Chapter Three

AGENCY EVALUATION EXPERIENCE: THE TECHNOSERVE CASE

George Metcalfe, Technoserve, Discussant

Technoserve's desire is to make the best use of scarce resources; therefore it is committed to program planning and evaluation. Although the agency has operated since 1969, its project level experience and depth is relatively modest. Further, the nature of its work in the enterprise and cooperative development field is highly dynamic. Thus, a satisfactory standardized evaluation methodology or process that will substantively contribute to Technoserve's corporate knowledge and program planning is difficult to develop. While monitoring of country programs and projects can be done satisfactorily, two recent experiences with external evaluators of Technoserve's country programs and headquarters indicated a number of problems with such evaluations which may be applicable to other voluntary agencies: (1) attempts to apply evaluation "models" or methodologies used elsewhere have limited value, given the unique character and diverse operating environments of most agencies; (2) the cost of external evaluation is high, with reference to the benefits derived by an agency, especially if the evaluators are not well acquainted with the organization and its projects; (3) the agency's ability to provide data requested by evaluators should be carefully assessed before designing and undertaking such evaluations; (4) well-intentioned, positive recommendations of external evaluators may be beyond the limits of the agency's resources, or outside the scope of its mandate.

Technoserve's experience indicates the need for assistance of ACVAFS/TAICH or entities like CODEL or PACT to help put the evaluation issue in perspective. As they get to know the agencies better, they may be in a position to suggest some low-cost ways that evaluation can be given full membership in the program planning process of agencies, along with operational systems, controls, project criteria, procedures, institution building, training and good intentions of agencies to do everything possible to meet the needs of the poorest majority. Some guidelines are offered:

1. Evaluation should only be attempted when an agency has developed the necessary corporate knowledge and empirical qualitative and quantitative data about its work warranting the time and effort to make the endeavor useful to all concerned. This is a first priority.

2. Evaluation and evaluators must work within a framework of known facts about the agency and its activities and come to terms with the social, political and environmental conditions affecting its work in projects or programs in highly diverse developing nations.

3. It is essential that evaluation mechanisms be developed which recognize the time and cost that must go into the evaluation of programs or projects and be reasonably certain that such efforts are truly warranted. Donors who wish to "verify" evaluations completed by agencies must recognize that the funds so spent have a high opportunity cost and do not necessarily improve the development process or reduce the risks of agency activities in that process. Further, all evaluation designs must have their own pragmatic "logical framework" to justify the breadth and depth of such endeavors. Technoserve, like most agencies, is an operating/implementing entity, not a research institution.

4. Evaluation, like implementation, should include "decision points" once in process. This implies flexibility on how far to go with evaluations. It is important to assess whether the time, cost and psychic energy being expended is likely to improve the agency's performance and/or its impact in developing nations. Some program or project successes or failures are so unique, non-transferable, or limited that they simply do not justify extensive evaluation.

5. To foster internal agency capability and support to do evaluation may require considerable decentralization of the monitoring, project planning and decision-making process in field operations. A centralized "evaluation team," however, may be useful to facilitate an effective, objective evaluation process within an agency. In order for evaluation to have impact on an agency, it is essential to integrate evaluation results and recommendations with planning, operations, fund-raising and policy-making. Since the purpose of evaluation is to assess the impact of an agency's work and enhance its corporate knowledge, an evaluation function appears necessary to "close the loop" in an agency's management information system.

6. When an agency's corporate knowledge and/or empirical process data is limited, donors and the agency should focus on conceptual tools of what they feel ought to be done and why. Working together, they can establish at the outset the mechanisms to develop the knowledge, experience and data over time that will facilitate program planning and create an environment where evaluation is not only possible, but accepted as vital to maximize the impact of the agency. In this somewhat vulnerable situation, "small is beautiful"!

Chapter Four

EVALUATION FOR SPECIFIC IMPACT -- CRITERIA FOR THE EVALUATION OF DEVELOPMENT PROJECTS INVOLVING WOMEN

Maryanne Dulansey, Discussant

We have learned from experience with development that not only must we examine projects and programs for their achievement of the planned goals, we must also evaluate them for unintended effects, especially those which may be negative. This realization has given birth to various requirements for impact evaluations. International Women's Year (1975) and the ensuing decade will focus attention on the myriad negative effects on women that all sorts of development projects have had in the past. The voluntary agency community designed a set of evaluation criteria in an effort to become more aware of women's role in development, and the impact on women of our projects--whether designed to benefit women specifically or not.

The Criteria for Evaluation of Development Projects Involving Women were formulated by the ACVAFS Subcommittee on Women in Development and published by TAICH/ACVAFS in 1975. They are a tool which voluntary agencies and others may use to evaluate how well projects and programs bring women into participation in development. The criteria have stood the validity test throughout the process of formulating them, in the distribution of some 5,000 copies to development assistance agencies (including the voluntary agency community, AID, Peace Corps, UNDP and overseas groups), and in limited testing of the criteria. (See below for a list of the criteria.) Nevertheless, the existence of a valid tool does not necessarily mean it is being used. The limited number of Response Forms (a tear-out questionnaire in the booklet) returned to ACVAFS has led the Subcommittee to the realization that more communication is required than merely the forwarding of a booklet, and more motivation and back-up support are required if the criteria are to be used effectively. Hence, the Subcommittee has decided to emphasize overseas training and information-sharing.

(Editor's note: Since this was written, the Subcommittee co-sponsored, with The New TransCentury Foundation, a Workshop on the Involvement of Women in the Development Implementation Process in Sierra Leone, October 1977. Participants were field staff of U.S. voluntary agencies and their program cooperators.)

CRITERIA FOR EVALUATION OF DEVELOPMENT PROJECTS INVOLVING WOMEN

1. INITIATION AND LEADERSHIP

a. Are women involved in planning or starting the project? (If not, go to (g))

b. How many women are involved in planning or starting the project?

c. What is their status? (For example, community leaders, housewives, wage earners)

d. What do they do in the project?

e. Are they outsiders, or do they live in the project community?

f. How do they respond to the needs of the project participants?

g. If women are _not_ involved in planning or starting the project, _can_ they be involved? How?

h. If they cannot be involved in planning or starting the project, what are the reasons for it?

2. PARTICIPATION AND CONTROL

a. Do women influence the direction of the project? How? If not, what is the reason?

b. How much control do they have over the project? (For example, can they change the project goals of the way the project is run?)

c. Is there any formal way women can control the project? (For example, are they members of governing boards?)

d. What is the role of the participant in the project? Is it passive or active? (For example, does the participant

<u>receive</u> goods or services, such as food and health care in a typical Maternal Child Health Program? Or, does the participant <u>generate or create</u> goods or services, such as food in a garden project, or health care in a community health scheme?) Specify.

e. How will this project change the participating women's attitudes about themselves?

3. BENEFITS:

a. What are the benefits of this project to women? (For example, will it give them more confidence in themselves, skills, increased income, adequate nutrition, lighter household burdens?)

b. Have the women themselves asked for these "benefits?"

c. Do the women invest their time, their work, their funds or goods in the project? Specify.

d. Does the project help increase women's access to <u>knowledge</u>? (For example, how to organize themselves, what legal rights they have, how to identify their problems and seek solutions within their communities, knowledge in child care, health, nutrition, agriculture, home economics, etc.) Specify.

e. Does the project help increase women's access to <u>resources</u>? (For example, to human resources, such as other women; to organizations and institutions, including government programs; to material resources, such as money, goods) Specify.

f. Does the project help increase women's access to the <u>power structure</u>? (For example, in the family, in the community, in organizations, in the government)

g. How are women able to influence important decisions?

h. What decisions?

4. SOCIAL CHANGE:

a. Does this project increase women's choices of action?

b. Does this project raise women's status?

c. How have women's lives changed as a result of their having more choices, and new status? (For example: in political ways?) Specify.

d. Do these changes create problems? If so, describe the problems.

e. Does the project have the effect of exploiting women in some way? How? (For example, by using women's labor without adequate pay and without teaching organizational and managerial skills, or providing for the exercise of such skills)

f. What can be done to eliminate this exploitation? (For example, provide adequate pay, and training in organization, management, marketing, leadership, etc.)

5. PROCESS:

a. Is the project structured so that, having attained one goal, the participants can move on to others? (For example, from food distribution in an emergency to reconstruction; from curative to preventive health programs; from family planning to training in nutrition and child care; from housing construction to community development; from feeding programs to agricultural development) Specify.

b. Does this project develop skills which can be used outside the project activity, that is, transferable skills? (For example, functional literacy, functional mathematics, organizational and management skills) Specify.

c. Is the project plan flexible enough to adapt to changing needs? Have changes been made? What changes?

d. Does this project aim to decrease dependency on outside resources and increase reliance on local resources? (For example, increased use of local human resources such as leaders, managers, teachers; increased use of local material resources such as natural fibers and vegetable dyes) Specify.

Chapter Five

EVALUATION AS A PROCESS OF LEARNING ABOUT DEVELOPMENT

James Cotter, Inter-American Foundation, Discussant

Evaluation can serve not only as a measure of the effects of a specific project; but it can also be used to go beyond that point, to learn about the underlying socio-economic issues to which the project responds.

The Inter-American Foundation has developed a technique to go beyond evaluation/monitoring into learning, which can serve both the beneficiary's and the funder's needs. The beneficiaries seek knowledge about problem-solving and ways to increase production and profit. The funder-learner is concerned about what works well, but also about the causes and larger implications of project success.

Cluster analysis - the Flower Technique with petals radiating from a center - was developed to do learning/analysis on 18 projects funded during the 10-day period in what was called the Brazil Field Team Experiment.

The objective was to have the aggregate project experience serve as the source and authenticator of our learning analysis rather than attempt to verify existing concepts or theories. The problem is that what is observed/analyzed passes through culturally-conditioned filters or selective perceptions which distort to varying degrees.

Those distortions are always present. But they can be rendered manageable (within tolerable limits) by reality-testing the data against beneficiary perceptions reasonably assumed to be culturally harmonious.

The first step in the Flower Technique is to cluster the projects being analyzed/evaluated according to affinity of focus or objective: for example, youth, women, neglected population segments, etc. Then identify the issues and problems addressed by each cluster of projects through interviews with beneficiaries, project planners, administrators, and people in the field with project-specific expertise (place it in the larger context). Illustrate the relevant issues/problems pertaining to each project cluster as radiating spokes of a wheel. Next to each relevant issue/problem list the programmatic initiatives in the affinity cluster designed or intended to solve or improve them. This graphically presents the relevant problems and what is being done about them.

The next step is an identification of the shared programmatic components in each cluster, the issues/problems addressed and those unaddressed. The extrapolated inventory constitutes a comprehensive program design, contrasted with the relevant issue/problem universe as distilled from our aggregate project experience. The interfacing between programmatic initiatives and relevant issues/needs indicates how much of the total problem is being responded to and what provisions can be made to cope with those that remain.

It is also useful to extrapolate a list of the needs addressed by project initiatives expressed in terms of the apparent priority scale or ranking. This need-priority-scale can be reality-tested with the project's beneficiaries, and project planners/administrators can reality-check whether they are in harmony with felt needs or have imposed priorities.

Chapter Six

NEEDS ASSESSMENT ISSUES

Workshop participants agreed on the need to shift evaluations of development programs overseas to a more participatory approach. "Needs assessment" is a shorthand term for such an approach. A number of issues were raised. Needs assessments, though meant to elicit the views of potential project participants, are often done by outsiders, by Westerners who neglect the perception of people in the communities. Surveys tend to predispose information received by the kinds of questions asked. Indigenous people conducting needs assessments are often elites, so it must be clarified who is asking the questions and who is answering. Expertise in needs assessment does not necessarily enhance capability to respond. In spite of the problems, needs assessment was seen to be a reversal of a twenty-year process, moving from imposed, predetermined assistance to a "trying to hear" and therefore "a process to facilitate a critical awareness which involves people in identifying and projecting solutions for their problems and enables something to happen."

"Needs assessment" is a simple concept and should not be reduced to jargon which alienates people. Most simply, it asks: "Where are we? Where do we want to be?" Nor should it be thought of as a "one-time thing" but rather "a process through which it is determined whether there is a mutually supportive relationship between assistance providers and users." The project mentality must give way to the idea of needs assessment as an evolutionary process, with both "beneficiaries" and "implementers" seeking "ever higher levels of awareness through the continual testing and improvement of individual and collective perceptions of reality."

Furthermore, there are problem-creating cultural disparities between the Western results-oriented, achiever, giver, needs-filling, problem-solving approach and developing country cultures with other values. The interaction often results in a dependency-oriented, achieved-upon, beneficiary outlook. A two-sided learning process is required.

Needs assessment can be a useful development tool when both parties learn to distinguish between needs and wants, between their needs and their perception of the other's needs or resource capabilities, when they recognize and learn to work within resource, leadership, and time limitations. For the implementing agencies, needs assessment should not be loaded with "outside values," paternalism, political risk, oversophisticated methodology, or the raising of expectations.

A lack of knowledge within voluntary agencies of the practicalities may result in infrequent use of needs assessment: how to do it; how much time it takes; how much it costs; what use to make of the "result"; how to select and prepare (what kind of) staff to do it; what specific impact it may have on the agency's program. Such lack of knowledge may show up as lack of confidence in field level staff and/or the villagers themselves.

These constraints and the consequent infrequent use of needs assessment techniques have contributed to the present status: few people, especially nationals of developing countries working at the village level, have accumulated experience in needs assessment or other participatory techniques. Thus, there is a lack of trained personnel to do needs assessments.

Workshop participants were outspoken in pointing out the futility of having a tool (needs assessment) if it were to be misused (in non-participatory, unequal, paternalistic, dehumanizing ways). Based upon his experience with a survey in Zaire, Merrill Ewert raised "some troublesome questions" which indicate the gravity of potential unintended side effects. It was also noted that "the biggest barrier to mutually supportive relationships is a narrow 'expert' attitude."

Chapter Seven

NEEDS ASSESSMENT AS AN ORGANIZATIONAL APPROACH

A. Adult Education and Needs Assessment

Sean Tate, World Education, Discussant

World Education is an organization providing technical assistance on non formal education for adults. Adult education is defined as a process whereby persons who no longer attend school on a regular and full-time basis undertake...organized activities with the unconscious intention of bringing about changes in information, knowledge, understanding of skills, appreciation and attitudes, or for the purpose of identifying and solving personal or community problems. World Education regularly uses needs assessment -- the valuation of need of the potential learner -- together with evaluation of design, of operations, of materials, of learning gains, and of impact in providing adult education technical assistance.

In many adult education programs today, particularly in the multitude of nonformal programs, a determination of the needs of the target population is increasingly considered as a vital part of program development.

Defining "needs assessment," like defining "evaluation" and "adult education," has been a problem. The problem, however, has not been one of too many definitions but rather of too little interest in the subject.

One useful but limited definition of "educational needs assessment" has been that of James Popham: "A technique for identifying those educational objectives that most need to be accomplished in a given instructional situation."* This, Popham believes, is accomplished by first identifying desired learner outcomes. Second, the learner's current status with respect to that outcome is ascertained. The difference between the current status and the desired status is considered to be the "educational need." This he outlines schematically:

An Educational Need**

Desired Learner Outcomes	minus	Current Learner Status	equals	An Educational Need

*James Popham, "Educational Needs Assessment" Curriculum Theory Network, 8-9 (1971-1972), p.22.
** Ibid., p. 23.

Needs assessment strategies are essentially shaped by the answers given to the question, "Who defines whose needs?" The degree of participation by the potential learner in the needs assessment process is an important consideration in any response to this question. Popham's definition does not address this issue. Participation of the learner is ignored: needs assessment is "done to" the potential learner. So that although the comparison between outcome and current status does give us a picture of an educational need, we need to go farther by clarifying whose concepts are formulating the picture.

A more detailed and, for adult education, much more satisfying definition has been outlined in a report of an adult education project carried out in the United States by St. Bonaventure University and World Education, a private nonprofit technical assistance agency based in New York. The meaning of needs assessment in this program evolved out of these program objectives:

1. To build empathy with the students.

2. To identify relevant problem themes in the students' lives with the purpose of constructing meaningful materials.

3. To better understand the context in which the students will be trying to solve their problems.

4. To promote student self-esteem and sense of environmental control through their active participation in the explication and solution of their problems.

Three underlying assumptions of needs assessment in this program, which also define needs assessment, follow from the program objectives:

1. Needs assessment is a continuing process, not a one-shot deal, always mirroring the changing conditions of the community.

2. Needs assessment and curriculum development are inextricably linked, the former being the basis of the latter.

3. Needs assessment cannot be realized for and on behalf of people but only through, by, and with their full participation.*

This view of needs assessment as a continuing process in which there is the active participation of the potential students offers one of the most promising approaches to a difficult aspect of evaluation in adult education.

The methods by which needs assessment is undertaken are largely dependent on whether a participatory or more traditional approach is taken to this task. There can, however, be combinations of strategies within each approach or combinations that incorporate elements of both approaches. A few of these strategies are reviewed here.

Baseline survey. The traditional method of needs assessment has been the baseline survey. Unfortunately, needs assessment surveys have too often been ill-designed, too long, unused, misused, and abused.

One particular type of survey, known as the KAP (Knowledge, Attitude, Practice) survey has been very popular. It has been used to such an extent that it recalls the old Law of the Instrument: "Give a small boy a hammer, and he will find that everything he encounters needs pounding." Many international organizations have carried out hundreds of these surveys. Frequently they have been expensive exercises which never get used once they are completed.

Perhaps it is as well that KAP survey findings have rarely been used either in determining program content or in assisting administrators to make policy decisions, because their reliability and validity is questionable. KAP surveys tend to gather demographic data which may or may not be useful, but they have seldom been used to delve into the reasons for the relationships between such variables as education, age, and socio-economic status and those of knowledge, attitude, and practice.** Since such surveys spend relatively little time with each individual, they have difficulty getting beyond the answers an individual is willing to give an interviewer.*** This last criticism is often difficult to avoid, given the constraints of time and money as well as the need for succinct, simple instruments.

*Nat Colletta, as summarized by David Narot. "Final Report of the World Education/St. Bonaventure Aim Project" (mimeo) (New York: World Education, 1976), p. 11.
**Everett Rogers and Jean Baker. "Guidelines for Evaluation Research on Family Planning Communication" in Evaluation Research on Family Planning Communication, by E. and A. Rogers. (Paris: UNESCO, 1976), pp.66-67.
***Susan Scrimshaw. Anthropology and Population Research (New York: International Institute for Human Reproduction, 1972), p. 13.

Further, many otherwise well-designed surveys fall victim to the ambition of the designers: an ambition to ask anything and everything. Survey designers often fall so deeply in love with their survey instruments that they tend to forget that there are real people who must answer them, people who have limits to their attention span and many other things to do in their daily lives.

Another problem concerns timing of the implementation of the survey. A recent attempt at a needs assessment survey in a Moslem country foundered, in part, because it coincided with a major religious holiday. Survey personnel who do not take into account the timing of activities in the daily lives of those they are going to question are in trouble from the start.

Despite its limitations, the survey is likely to continue as one of the key elements of traditional needs assessment. But there are other methods that may be more valuable in particular circumstances, or that, combined with baseline surveys will facilitate or improve needs assessment.

Using other approaches to needs assessment. Flexibility is one key to needs assessment. There must be capability to use other methods besides the survey when conditions are appropriate.

A second key to successful needs assessment is not only to have different methods at one's command, but also to be able to implement several approaches to needs assessment during the same general time period, a multiple approach. The multiple approach offers the advantage of cross-checking the validity of the data. In addition, one method may be more suitable for obtaining a certain type of information which can't be obtained in any other way. The multiple methods can also be implemented in sequence. One method could be used to obtain general information at one level and then other methods could be implemented to explore and build upon the first method by obtaining information in greater depth.

What then are some of the other methods of needs assessment which could augment, or in some cases, replace the survey?

The case study. Case studies can be used to supplement the baseline survey. Anthropologists have employed the case study extensively. Experienced, trained, and perceptive observers can pick up subtle occurrences and interactions not available through other methods. Case studies, however, take considerable time to carry out and often reflect the bias of the observer. But as part of a multiple approach to needs assessment the case study has much to recommend it.

Other techniques from or associated with anthropology deserve greater attention as needs assessment tools.

Photography as a needs assessment tool. In a book entitled Visual Anthropology* Collier describes how photography can be employed as a research tool. He offers a variety of forms and observation schedules for photography, either still photography or motion picture film, which can be adapted from Collier's work and used as tools for needs assessment.

Photographs can be used, and have been, in a slightly different fashion as a needs assessment tool. Photographs are taken in a prescribed geographic area. The photographs show many aspects of daily living, including problems. The photographs are developed into large prints and groups of the target population are then encouraged to select and discuss those photographs that they feel represent problems confronting them. The target population, in a participatory approach, go on to take part in the design of methods and materials for solving those problems.

Photographs have played an important role in a methodology called AIM (Apperception-Interaction Method) also used in local, adult basic education programs in the United States by World Education. This experience with photographs served as the basis for the methodology of research carried out by Irish on nondirective group interviews as an approach to needs assessment.**

A step beyond the use of photography by an "outsider" is a more participatory approach. Potential learners can do their own needs assessment photography. Through careful planning they can be assisted in the use of inexpensive cameras (some simple Japanese models have reasonable optics) to make a photographic record of their own needs.

Group process techniques. One simple example of the way group process techniques can be useful in needs assessment is the "Top Problems Method." Small groups, with the low-profile guidance of a group "facilitator," describe the major problems that confront them. The problem discussion can be limited to particular problems or can be all-encompassing. After group members have agreed on three to five major problems (consensus is desirable), they must next carefully rank the problems in terms of importance. This can be time-consuming if conducted among many groups, and it may not be possible to obtain a fair representation of community feeling among the group participants.

*John Collier. Visual Anthropology (New York: Holt, Rinehart and Winston, 1967), pp. 28-29.
** Gladys Irish. "Non-directive Group Interviews: An Analysis of a New Approach to Needs Assessment for Adult Basic Education" (paper) (Center for Adult Basic Education, Columbia University Press, New York), p. 1.

Another intriguing approach to needs assessment through group process techniques is called the "Paper Bag Method." (Any container--pot, basket,box--will do.) Each participant in a group is asked to go to his/her home or the surrounding vicinity and select four or five objects that best represent important problems in that person's daily life. They place those objects in a container and bring them to the group on the next day. In the group discussion, participants remove their objects, one at a time, from their container and discuss the relevant problem as they do so. This method has its advantages. Literacy is not required. Photographs are not required. The participants get to choose their own targets of discussion. If available, a tape recorder can be used to record the discussion.

There are many other needs assessment approaches which deserve serious consideration. Games, for example, can be useful, particularly in the determination of literacy levels. There are also other discussion and problem-solving methods that are promising.

Considerable emphasis and space has been given here to needs assessment methods, more emphasis and space than will be given to any other type of evaluation. This reflects what is felt to be both a neglect and an urgent need. Much of the methodology that has been described is also applicable in other elements of the evaluation typology described earlier. Again, it must be emphasized that needs assessment should be a continuing evaluation activity in an adult education program.

A World Education Experience in Needs Assessment

World Education's experience, as illustrated in the Philippines Innovative Nonformal Education Program for Rural Women,* is that learners can identify the content of their own learning, that needs assessment flows into the development of materials, and that the degree and quality of participation depends on the cultural and political factors in each situation. In this project, World Education set about to:

1. examine the problems of rural women's education;

2. identify a set of hypotheses in two different cultural, political and social contexts; and

*Excerpted from Catherine Crone, Research on Innovative Nonformal Education for Rural Women: Phase I (New York: World Education, January 1977).

3. design a methodology for developing and evaluating a long-term program based on three hypotheses in two different cultural, political and social contexts.

Background

From February through August 1975 World Education in cooperation with the Philippines Rural Reconstruction Movement (PRRM) carried out Phase 1 of a research project with funding from the Education and Human Resources Division of the Technical Assistance Bureau of the U.S. Agency for International Development. The purpose of Phase 1 was to develop a research metholology for testing innovative ways of educating rural women so as to improve their personal, family, and social situations as well as to enable them to participate more effectively in the development process.

The specific objectives of Phase 1 were to:

1. design and apply data-gathering techniques to assess the education needs of rural women in three selected villages;

2. refine a set of hypotheses concerning the lag in rural women's education using the three selected villages as the testing ground;

3. develop a set of guidelines for creating teaching methodologies and materials based on the hypotheses emphasizing open and participatory educational techniques;

4. identify criteria for evaluating cognitive, attitudinal, and behavioral change of rural women; and

5. specify guidelines for the design of a longer term research project based on results of Phase 1.

Rationale

Women in the developing world fill vital roles in agriculture and other aspects of the rural economy, and their values, attitudes, opinions, knowledge, and habits directly affect the quality of life of millions of families and communities.

However, a number of factors restrict rural women's participation in development. Principal among the obstacles are the hardship of their daily lives, the burden of large families, a low status in society, lack of community recognition of their economic contribution, and insufficient access to education. The high rate of female

illiteracy in the less developed countries both follows from this situation and perpetuates it. The effects of women's ignorance on children's nutrition, health, and education are often irreparable. The loss to the national economy through underdevelopment of this sector is only beginning to become apparent.

Efforts to educate rural women in the past have by and large concentrated on such content areas as needlework and cooking, thereby sterotyping women's role as housewives. Furthermore, the heavy workload that rural women normally carry often prevents them from attending classes in set locales or on a rigid schedule. More flexible and informal means of educating rural women need to be evolved. Creative planning is needed to broaden the scope and content of such programs, to develop more effective educational strategies, and to evaluate the effectiveness of such innovations.

A. Adult Education and Needs Assessment: ANNEX

WORKING LIST OF NEEDS ASSESSMENT TECHNIQUES

by

Sean Tate, World Education

I SURVEYS

Current Practice
Prospective Questions (if...then)
Mixed

II GROUP TECHNIQUES

Top Problems (re specific subject; rank)
Paper Bag Method
Serial Photos/Drawings
Critical Incident
Open-ended Story
Using Projective Questions
Problem-posing
Futurology Techniques
Participatory Research (villagers find out own needs)

III GAMES

Bonanza Game
(Relevant to cultural context)
Questionnaire (skills)

IV DAILY ACTIVITIES SCHEDULE

(cf. World Education at St. Bonaventure's)

V OBSERVATION

Lurking
Features of Activities
Anthropology Techniques
Visual (photos)

VI TECHNOLOGY

Tapes (oral history, cf. Foxfire)
Videotape
Photos by outsiders (villagers take pictures of needs to get their own perspective on needs)
Photos by participants

VII HISTORY/CONTEXTUAL INFORMATION

All information which can be gathered, e.g. maps, surveys, books, articles, interviews with experts in different subject areas, etc.

Questioning skills

Listing priority of skills

B. Participation of Women

Glen and Mildred Robbins Leet, Discussants

It is possible to involve women in development by a process that requires relatively little financial assistance. The small amounts used serve to catalyze action and do not represent financial aid.

The process is, therefore, useful for agencies with limited resources and for pilot projects, to demonstrate the ability of an agency to use the process on larger programs.

It begins by involving people in discussions--not of their needs, but of what they want to do--what they can do without external aid--what resources they have in ideas, in time, and in willingness to work together.

To help them crystallize their thinking, an application form is used on which plans can be written in a sentence or two. To help them establish priorities, they record information that helps them evaluate their own ideas, such as their contribution in days of work; the number of people expected to participate in planning, work and benefits--by sex. The economic gain and amount that will be reinvested for further activities. Putting their thoughts on paper helps them move from conversation to a plan, and when a group meets, discusses, and authorizes someone to sign a plan, it's one step forward.

Writing down a starting date is another step toward making the plan more real, and when someone receives the plan, approves it, and gives it a project number, it's still another step forward.

If a payment is received and a receipt for it signed, it's no longer just a plan, it's an agreement, and action is likely to take place starting on the agreed-upon date.

The process is most successful if the amount of the payment is nominal. It could be $1.00 or $10.00, but a larger amount would not be better. Small is more beautiful when it helps people to help themselves.

This process is used to encourage projects with the following twelve characteristics:

1. Each project is based on felt needs.

2. A democratic process is involved.

3. Women are involved in planning, work, and benefits.

4. Each is labor-intensive.

5. Already available skills are used.

6. Already available materials are used.

7. No authorization is required that is not readily available.

8. The project can start immediately.

9. It has been thought about for a long time by the people.

10. Social and economic benefits will result.

11. Part of the economic benefits are pledged for awards to encourage further activities.

12. The status of women is enhanced.

The process is most effective if the counselor working with the group is able to make an immediate, on-the-spot decision to commit the small amount of the award involved.

The process is outlined in the attached "Guidelines for Stimulating the Participation of Women in Community Service Programs." To use it successfully requires training and re-orientation of field staff. It cannot be applied successfully by people who believe that their mission is to bring relief, financial aid, technology, and ideas to people who are unable to think for themselves, nor can it be applied by agencies that allow no discretion to field staff and require central, prior approval of even the smallest expenditure.

We are able to re-orient field staff in short seminars, but to change agency policy takes much longer.

B. Participation of Women: ANNEX

GUIDELINES FOR STIMULATING THE PARTICIPATION OF WOMEN IN COMMUNITY DEVELOPMENT SERVICE PROGRAMS

by

Glen Leet and Mildred Robbins Leet

At IWY, there was general acceptance of the fact that women must have an important role in development.

There is need, however, for more information on how this role can be carried out in a variety of different situations and environments.

There is even greater need for the development of a process which can stimulate their participation.

The attached guidelines describe such a process. Designed to meet those needs, it has enabled many women to contribute to development in some of the world's poorest communities.

It is based on the following assumptions:

1) That in almost every community, there are people with practical ideas which can increase productivity and improve the quality of life;

2) That among these ideas are some that can be implemented with the community's own resources;

3) That some of these ideas could generate substantial income, and trigger a chain reaction of development activity; and

4) That among the new attitudes that will arise will be a new appreciation of the role of women.

Guidelines for a Community Development Service Program

1. **Goal**

   The goal of this Community Development Service Program is to encourage the participation of women in development.

2. **Intent**

   The intent is to demonstrate that women can make a great contribution toward development. The program is intended to honor groups and individuals who contribute significantly to development.

3. **Activities Not Requiring External Aid**

   The program provides recognition to those who contribute to development activities not requiring external aid, and which are planned and carried out by the people who will benefit by the activities.

4. **Participation of Women**

   The plan should involve the participation of women in the planning, execution, and benefits from the activity.

5. **Felt Needs**

   The plan should be developed by the people who will benefit, and express their deeply felt needs, their hopes and aspirations, and be one to which they are prepared to contribute substantial work and community service.

6. **The Plan**

   The plan should be in writing, preferably a simple plan of only a few sentences. If it is something to which the group has already devoted extensive thought and attention, it may be written on the spot and accepted at once for immediate implementation. The type of service and the amount of time to be contributed should be indicated on the Plan.

7. **The Acceptance**

   The acceptance by the field representative will also be in writing, and may be made immediately so that the group's enthusiasm may not be dampened by delay. It should express the intent to honor community service; it should indicate the amount and conditions under which a final award will be made; and there should be receipts for all payments.

8. Amount of Award

An award should not exceed $100. The contribution of the participants, taking into account the value of their services, should be at least ten times the amount of the award. An award may be shared by more than one group when it is not practical to try to determine the most meritorious.

9. Decision

The decision to accept a community plan for an award will be made by the field representative while in the field. Usually a token payment (perhaps 10%) is made immediately on acceptance of the plan. Final payment will be made when the goal is achieved and a report is received.

10. Reinvestment

Calculating the financial gain is an important part of the process. Preference should be given to activities which provide a recoverable economic return which the group can then use to encourage further community services. Awards may be grants or loans which may be reused for further development.

11. Representatives

The field representative may designate a representative or committee who may receive reports, receipts, and honor rolls, make payments as authorized, and represent the field representative at any ceremony related to the activity, such as an award presentation.

12. Final Payments

Final payment of the awards should be made by the field representative or designated representative when a report has been received on activity completed. This should include results, benefits, a copy of a community Honor Roll listing all the participants, both male and female, and indicating the amount of their contribution. The award should be shared by all who participated, in proportion to the service provided, as recorded on the Honor Roll. Or, the award may be used for a collective purpose, if this has been agreed to by a collective decision of those who contributed their services.

13. Reports

The field representative is responsible for providing, or arranging to provide, a report on each activity for which an award is made. This will serve as a report to contributors or potential contributors, and assist in the evaluation and development of the program.

To:____ Date:__________

APPLICATION FOR COMMUNITY SERVICE AWARD

1. We understand that your organization is interested in encouraging the participation of women in development; that you are gathering information on such activities; and that you make awards to honor women and men who contribute community service.

2. The name, composition, and location of our community are as follows:________________

____

____

3. The community proposes to undertake the following project:__________________

____

____

4. The community plans to contribute the following:
   a. Number of days of work:______________ Estimated Value:______________
   b. Other contributions:______________________ Value:______________
   c. Total community contribution:______________ Value:______________

5. Number of people expected to participate:

	Female	Male	Total
a. In Planning:	____	____	____
b. In Work:	____	____	____
c. In Benefits:	____	____	____

6. Work can start on ______________ and be completed on __________ __________

7. Application is made for a community service award to honor people who contribute community service.

8. An Honor Roll of people will be kept of all who contribute community service and the amount of service.

9. The award will be divided among those people listed in proportion to the amount of service contributed, or may be used for any other purpose determined by those who contributed such service.

10. The estimated financial gain from the project amounts to $__________. Not less than ____% will be used by the community for community service awards to honor those who work on future projects.

11. Information on work completed and the results, together with a copy of the Honor Roll will be provided.

12. We understand that there may be a token payment of $10 upon acceptance of the plan, and a final award of $90 when the information referred to in the preceding paragraph is received.

13. We understand that should the community decide not to complete the project, it is free to do so, and will return the token payment so that an award can be made to another community.

14. We are happy to share information on our activities, and we welcome information from others.

____

(signed) (position) (address) (date)

PROJECT APPROVAL BY FIELD REPRESENTATIVE

Approved as Project No. ______________ for an Award equal to 10% of the contribution of the community, but not to exceed $100.00. Payments will be made as follows:

$________ on ______________ (date), and $_______ when the work is completed.

Date______________________________ Signed_________________________________

Receipt for Payments

Received on ______________________ (date), the amount of $__________.

Date______________________________ Signed_________________________________

Position_______________________________

Certificate of Completion

I certify that the work agreed upon has been completed.

Date______________________________ Signed_________________________________

Position_______________________________

Receipt for Community Service Award

Received on ______________________ (date), the Community Service Award in the amount of $__________.

Date______________________________ Signed_________________________________

Position_______________________________

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C. Specific Material/Technical Resources

Ed Geers, Heifer Project International, Discussant

Heifer Project International is an agency which can provide specific material and technical resources related to livestock. In the case of Heifer, the needs assessment is done by parties requesting those resources. In this straightforward situation of matching needs for a particular kind of resource to the availability of that resource, Heifer uses a simple Project Presentation Form designed to assess the feasibility of the requested assistance. (See Annex). Logistics is the greatest problem; some 50% of the requests cannot be filled due to the difficulty in shipping animals, perhaps the greatest perishable commodity.

The feedback is also simple, and done as a periodic Progress Report (See Annex). However, since Heifer does not run projects, but collaborates with implementing agencies, it is difficult to get more than half to report back annually. The agency is in the process of developing a more effective evaluation system.

P.O. BOX 808
LITTLE ROCK, ARKANSAS 72203
HEIFER PROJECT INTERNATIONAL

PROJECT PRESENTATION FORM

Please respond briefly in spaces below where applicable and attach separate sheets if needed.

1. COUNTRY:

2. NAME, MAILING AND CABLE ADDRESS, TELEPHONE NUMBER of Director and Administering Organization:

3. PROJECT LOCATION - town and province:

4. PURPOSE and short project description:

5. AID REQUESTED - if this is not a one-time request, indicate amount needed for each year for the next three years:

   a. From Heifer Project:

      (1) Livestock - indicate quantity, type, breed, sex and age:

      (2) Cash - for local purchase of livestock, equipment, etc.:

      (3) Personnel - if technical personnel or volunteers are needed, attach job description for each:

   b. From Other Sources - indicate source and amounts requested:

   c. Total Annual Program Budget - please attach to this request:

6. LOCAL SUPPORT - describe kind and amount:

   a. From private sources:

   b. From government sources:

7. OBJECTIVES - please indicate your program timetable:

   a. Short term:

   b. Long term:

8. OTHER PLANS - how does this project relate to similar livestock development programs and plans for this country and/or area?

9. PROJECT HISTORY:

10. FEASIBILITY - attach any studies done on project feasibility and/or write a brief paragraph about each of the following:

    a. Project Management - Heifer Project is especially concerned with this aspect of any program:

    b. Climate:

10. FEASIBILITY (Cont'd)

c. Feed:

d. Disease and Disease Control:

e. Veterinary Services:

f. Facilities:

g. Extension Service:

h. Transportation and Communication:

i. Market Potential:

11. TRAINING - describe plans for training in animal husbandry, course designs, available teaching resources, etc.:

12. Describe Plans for PASSING ON THE GIFT:

13. SOCIAL AND ECONOMIC SITUATION - give a general description of your program area, including relevant statistics:

14. List Livestock IMPORT REQUIREMENTS:

15. How will OCEAN/AIR FREIGHT be paid?

16. PROJECT EVALUATION - Heifer Project asks for semi-annual or quarterly evaluation reports for a period of two years after the last aid is received:

a. What provisions for periodic evaluation have been made?

b. On what dates will written reports be made?

17. PHOTOGRAPHS of project and/or project area are helpful for promotion purposes. Please attach if available:

18. DATE and SIGNATURE:

013074.1

P.O. BOX 808
LITTLE ROCK, ARKANSAS 72203

HEIFER PROJECT INTERNATIONAL

PROGRESS REPORT FORM

Progress reports are a necessary function for program evaluation and a useful tool for follow-up promotion with donor groups. Reports are required quarterly (on March 1, June 1, September 1 and December 1) from HPI field directors, and semiannually (on June 1 and December 1) from all other projects receiving HPI aid. Your cooperation is needed and appreciated.

PROGRAM LOCATION (S): ____________________

NAME OF PERSON SUBMITTING REPORT: ____________________

COOPERATING AGENCY (S): ____________________

DATE OF REPORT: ____________________

The following information is needed by the Heifer Project Program Committee:

I. ACCOMPLISHMENTS AND PROGRAM INPUTS:

1. Livestock:

a. Received:

b. Purchased:

c. Distributed:

2. Training Courses - how many attended, where held, by whom?

3. Follow-up Activities - what follow-up of training courses and animal distribution has there been?

4. Socio-Economic Impact - cite effect on particular families you know by name as well as overall impact:

5. Awards Won - by program, livestock, etc:

6. Publicity - attach press clippings if available:

II. OBSERVATIONS, EVALUATION, COMMENTS, PROBLEMS, regarding:

1. Cooperation with - agencies, groups in your locale:

2. Political Factors Affecting Program :

3. Project Personnel - changes, additions:

4. Project Timetable - what timetable have you established for program?

5. Project Goals:

6. Project Management - your evaluation, comments:

   a. Breeding and Reproduction:

   b. Disease Problems:

   c. Other:

7. Factors Affecting Project - drought, feed, rainy season, etc:

8. Financial Observations:

III. OVERALL EVALUATION OF PROJECT:

IV. FURTHER NEEDS, REQUESTS:

V. PHOTOGRAPHS - human interest (please attach):

083172.1

Chapter Eight

SURVEY RESEARCH AND NEEDS ASSESSMENT

Surveys have been standard tools for a number of years and may be used to assess needs. Merrill Ewert, while working with the Mennonite Central Committee in Zaire in 1976, undertook a survey of seven villages together with two Zairian Programme Agricole Protestant development workers. The following is a transcription of his field notes, as provided for consideration and discussion in the Workshops on Evaluation. An outline of the case follows. Mr. Ewert is currently Assistant Professor in the Department of Agricultural and Extension Education at the University of Maryland.

A. A Seven-Village Study -- Zaire

Merill Ewert, Mennonite Central Committee, Discussant

Field Notes

I. The Survey Methodology

Population Groups Studied

1. The heads of households, all subsistence farmers, in the seven-village area of Kitabi: Kitabi Village, Kapata, Kingungu, Wenze, Lungangu, Sesi, Kikulungu. As a team, we were primarily interested in understanding the attitudes and behavior of the village population for facilitating rural development in the area. I was also personally interested in examining the implications of Paulo Freire's theory of conscientization for rural development in Africa.

2. The commercial farmers whose livelihood depends primarily on the sale of agricultural produce. Farmers, in contrast to the subsistence cultivators in the first group, are recognized by the State as Fermiers and have a legal claim to their land upon paying certain fees and taxes and upon receipt of an offical "deed".

3. A mixed group of school teachers, nurses and merchants that is clearly recognized by the villagers and deed-holding farmers as a distinct social class.

The distribution of these three groups in the communities studied is as follows:

Social Group	Number of Households
Villagers (subsistence cultivators)	295
Farmers (*fermiers*)	12
Teachers, nurses, merchants	20
	327

While our primary interest was in the population of subsistence cultivators, we felt that the inter-relationships of the three groups were interesting and important enough to warrant considerable attention in our analysis. The attitudes and behaviors of villagers make more sociological sense when one considers how they relate to the other social groups in the area.

The Sample

As I mentioned earlier, the focus of this study was on the subsistence cultivator and his/her family, so we drew a random sample of household heads in this seven-village area where we were working in community development. We wanted approximately 100 in the sample, so decided to select one out of every three households through random sampling procedures.

We developed a sampling frame by mapping each of the seven villages and numbering all of the households occupied by tax-paying adults. Thus houses occupied by several young boys were eliminated from the sample whereas young adults who had begun paying taxes (18 years of age and older) were included on the maps of each village. Corresponding slips of paper bearing these numbers were placed in a bowl, throughly mixed, and a blind drawing held to determine which households were to be included in the sample. After drawing the first number in each village, we flipped a coin to determine whether we would interview the male or the female head of household. Thereafter, we alternated. If the male head of household was selected on the first number drawn, the second was automatically the female, the third male, and so forth.

If we were to interview a male in a certain household, but it was a household of women, we randomly selected a replacement. The same was true if we drew a woman, but the house was occupied only by one or more men.

Where interviewers were to visit with the women of the household, but found a polygamous family, they gave each wife a number, wrote each number on a slip of paper, and randomly selected one for the interview. If the wife selected for the interview was absent, the household was replaced in the sample following the same procedures that we used when no woman lived in the household.

In several cases, the male head of household was selected where several young, tax-paying men lived together. We used the same procedure for selecting a respondent among them as we did for selecting among the multiple wives in polygamous families.

It was necessary to make replacements for various reasons. Several men were looking for work in Kikwit and Kinshasa so had been away for some months. One respondent was blind and another completely deaf, so both were replaced. One was in mourning, two were critically ill, and another had a serious illness in the family, so they were not interviewed but randomly replaced.

For the sake of comparison, we also decided to interview the commercial farmers and teacher/nurse/merchant class in this area. Given the small number of each, we decided to include this entire population group rather than drawing a very small sample. Therefore we have one sample and two small population groups included in this study, though our primary concern is the first -- the subsistence cultivators.

The Questionnaire

The interview consisted of a questionnaire with 60 basic questions, some of which had a number of different parts, bringing to around 240 the pieces of information which were used in the preliminary analysis. Obviously, not all of these were critical to the study, but most of them were of interest in helping to understand the area and to plan the program for the future. The questions were designed to tell us about the state of agriculture, nutritional habits, division of labor, social structure, class consciousness, personal efficacy and fatalism, aspirations, and community adult education.

The questionnaire was developed by me and two Zairian community development agents working in this community development project. Although the people interviewed were almost all Kikwese, we used Kikongo, the *lingua franca* of the area, rather than Kikwese in the questionnaires. The reason was partly for our convenience -- I am very comfortable in Kikongo and my Zairian colleagues are native speakers -- and partly because of the mixture of ethnic groups in the area. We could have done the interviews in Kikwese but this would have meant that some people in the teacher/nurse/merchant group would not have understood, and several of the farmers, although perhaps being able to understand, might have had some difficulty expressing themselves. As it was, some of the older women heard the questions in Kikongo and responded in Kikwese with the interviewer translating their responses into Kikongo. Although it only happened two or three times, it was done without my knowledge or consent.

The questionnaire was pre-tested with twenty respondents and a number of changes initiated as a result. Several questions judged to be unclear were changed, several that seemed a bit offensive were reworded, a couple that did not differentiate were dropped, and one seemed to have political overtones that frightened the respondents, so this too was discarded. This last question read, "What are your hopes and fears for Zaire?" The response during the pre-tests in seventy-five percent of the cases was that this was a political question and therefore would not be answered. In the words of one respondent, "Yina ke mambu ya politique ye mono ke simba yo ve!" ("That is a matter of politics, and I am not going to touch it!") We dropped the question from the study. In several cases, interviews during the pre-test that started well were abruptly ended by the respondents after the question.

Preparing the People for the Survey

Programme Agricole Protestant (hereafter called PAP) had had a community development worker in the Kitabi area for slightly over a year, during which he built a small rabbit project, a small garden, and demonstration soybean plot. At the same time, he spent many hours in the area visiting with people about their problems and spraying a few houses with a mixture of DDT and HCH to kill termites, bedbugs, and mosquitos. He was well-known and had developed good relationships with people in this area, particularly in Kitabi where he lived, and the surrounding villages of Kingungu and Kapata. The study was presented to the people as an opportunity for the community development agent and his colleagues to visit systematically with the population in order to understand their problems and to provide them with the opportunity to participate in planning development activities.

We told the people that we had brought no program but were there to learn what their own programs were and how we could help them with them. We tried to make it clear that we were not there to build structures or create jobs for the local population -- we were community educators who helped people learn what they wanted to know in order to make their own lives better.

More specifically, we prepared the people for the survey in the following manner:

1. We explained the importance as well as the goals and objectives of the study to the <u>Chef de Groupement</u> and asked his permission to proceed. It was immediately granted, since the chief had been one of the community development program's strongest supporters.

2. We spoke with the chiefs of the villages in the area and explained what we wanted to do and how it related to the community development program in the area. They gave us permission to go ahead.

3. We visited the Chef de Collectivite in which the Groupement of Mudiwamba was located and outlined the goals and objectives of the study and asked for his permission to proceed. This permission was also quickly granted since the Chef was both aware of and supportive of the program.

4. In Kitabi and the two villages near it, the Chef de Groupement talked with key community leaders about the survey and asked them to spread the word that this study had his approval and support. Then the Chef, the community development agent, and I visited each of the other villages where we were less well-known and there the Chef called village meetings and explained to those present the goals, objectives, and procedures we would follow in the survey including such complexities as random sampling. The community development agent and I answered those questions which the Chef could not handle, but he made the presentation to the people.

5. On a Sunday morning at the local Protestant Church, the Pastor gave me 20 minutes during which I explained the goals and objectives of the survey, and how we proposed to go about it. The Pastor then explained how important this was for the community's development, pointing out that it gave them an opportunity to share some of their problems and concerns and to figure out ways of doing something about them.

6. Upon arrival in each village, we visited the chief and told him that we were ready to start with his village, spending the night in the community guest house except when working in the villages adjacent to Kitabi. Since the villages around Kitabi were small and Kitabi was centrally located, we set up shop there. In working the villages further away, we slept and ate where we were.

The Survey Strategy

Our program's community development agent who was permanently based in Kitabi had drawn maps of each of the seven villages surveyed, so as we moved into a village, the first thing we did after settling into the community guest house was to number the households on the map and draw the samples. In one case particularly, this was a community affair with various people taking turns drawing the numbered slips of paper out of a bowl under a shade tree in the center of the village.

The interviews were done by three PAP community development agents, and a fourth person doing a stage (apprenticeship) in our program as a prelude to possible future employment. It was felt by all concerned that I as a white American should not participate in the interviews since the people would be quite reluctant to express their real feelings to me. I stayed in the community guest houses which were our bases of operation while the agents did the interviews. I checked interview schedules for needed corrections and was available for interviewers' questions that arose from time to time. The usual questions dealt with replacement procedures where the proposed respondents were not available for one reason or another.

I also visited a number of the respondents after their interviews to try and ascertain how the interviewers were doing and whether the people were sharing their real feelings. These discussions were usually carried out over cola nuts.

We quickly learned to interview the women respondents at 6:00 in the morning and continuing until around 7:30 or 8:00 when they left for their fields. From 8:00 in the morning until the middle of the afternoon, we conducted our interviews with the men of the village, and then after the evening meals were prepared, we went back to interviewing women. The men seem to have all the time in the world, but it was sometimes difficult to find women both in the village and with the time to visit with us.

We were very hositably received by the village people -- they invited us to eat in their homes and/or brought food to where we were staying. Since it is virtually an insult to refuse food regardless of how many times you have eaten, we were well fed, eating four and five times per evening in several cases.

Fortunately for us, it rained on several mornings so the people could not go to their fields. We had an easy time finding people at home on those days.

Training the Interviewers

We spent a number of days before the actual survey began holding special training sessions for the interviewers. Having participated in developing the schedule, the interviewers understood what the questions were trying to measure, so our primary problem became one of not prejudicing the responses with our own attitudes or mannerisms. We took turns interviewing each other in front of the other interviewers and comparing responses for clarity and accuracy. This was done on typewritten copies of the interview schedule. Having already seen some problems, we corrected and changed certain questions before putting the pretests on stencils. The pretests were run off and

used not only to check for clarity but also for further training sessions for the interviewers. With corrections growing out of the pretest, we then rewrote and duplicated the final copy of the schedule which was then used in the interviews.

Since my Zairian colleagues were involved in every step of the process beginning with the original formulations of the questions, I found it to be an excellent opportunity for helping them understand the role of action research in community development as well as learning some elementary research methodology. They foresaw doing a follow-up survey in four or five years in an attempt to understand what had happened in the interim. They should be able to do this themselves on the basis of our first experience together.

Abstraction

One of the problems of interviewing several of the older respondents was their difficulty in abstracting. One question in the schedule read, "In life these days, it is good to have how many children? A few children or many children?"

The following is the transcription of an actual interview which illustrates the problem and the difficulties of interviewing in an area such as this:

Interviewer: "In life these days, it is good to have how many children? A few children? or many children?"

Respondent: "Snort...can't you see my white hair?"

Interviewer: "Yes, but I don't think I understand..."

Respondent: "I have white hair. Do you think I would be able to give birth again? Go ask my daughter over there. She is still giving birth, but my womb is closed."

Interviewer: "In life these days, it is good for people like your daughter to have how many children? A few children, or many children?"

Respondent: "It is good to give birth."

Interviewer: "Yes, but to a few children or to many children?"

Respondent: "Do I look like God? Do you think I am God?...huh!"

Interviewer: "Excuse me but I don't think I understood."

Respondent: "Whether you give birth to few children or to many children, it is the will of God."

Expectations and Levels of Understanding

We were not sure that we always understood people's reactions to use during the surveys. In a preliminary statement explaining the goals and objectives of the survey prior to each interview, we assured the respondents of anonymity which reassured most of them. One man, however, demanded that his name be written on his interview schedule. "I made these statements, and I want everyone to know that it was me who said that!"

In contrast, one older female respondent grew progressively more restless and apparently fearful during the interview until the interviewer asked her what was wrong. Near tears in what was undoubtedly the most poignant moment of the survey, she blurted out a question, "What did I ever do that you are asking me all these questions?" The interviewer again explained the purpose of the survey to which she responded, "I know what you are doing! You are asking me these questions in order to decide if you are going to give me to the white man to take away." Near hysteria, she added, "I don't want to go away! I want to stay and die here in my village! Please let me stay!" The interviewer visited with her for a while and she gradually figured out that some of her neighbors were going around bragging about having had chance (luck) in being able to give their opinions to the interviewers. She relaxed and willingly finished the interview.

This puzzling incident fell into place the next day when I dropped into a neighboring village where we had finished interviewing earlier. The chief greeted me and then we sat and visited under a huge shade tree in the center of the village. Suddenly, a man around forty-five years of age who had been standing off in the distance watching us, came striding boldly up to me, sharply clicked his heels and snapped a salute and said, "Bon Jour patron!" (Good day Master.) After offering my hand, I invited him to join us, which he did.

Suspicious, I asked him if he had served in the <u>Force Publique</u> under the Beligans before independence. "Yes, <u>patron</u>." Where did he serve? I asked. "All over, <u>patron</u>, but most of the time in Shaba (ex-Katanga)." Where did you join the army? "Right over here in front of the chief's house, <u>patron</u>." How did you join the army? "They caught me right over there in that grove of palm trees and put me on a truck and hauled me away." Did you want to join the army? "No, <u>patron</u>. I was trying to sneak into the village because the army recruiters were there, but they saw me in the grove and grabbed me. There was nothing I could do, <u>patron</u>."

That soldiers in the colonial army were often recruited by force has not been forgotten, nor has the fear that this generated among some elements of the society.

While there were those who feared the white man during this survey, there were others who longed nostalgically for the Belgian Congo where the roads were smooth, where the palm trucks ran on time, and where the palm cutters and the <u>cantonniers</u> (road repairmen) were regularly paid. Some expected a second Mission Kasanza (a Trappist mission eight kilometers away with an ambitious agricultural program), while others hoped that we might revitalize the sagging palm nut industry upon which some members of the community had been dependent prior to its expropriation by the Zairian Government. Though people said they wanted markets for their agricultural products (manioc, maize, groundnuts), they would rather have had jobs that would have paid a regular salary. As one village chief told me, "When the white man was here, we were well off -- everybody had money. Now we have nothing but trouble. But this will all change now with you back!"

Others, on the other hand, apparently believed us when we said that we came without a program, and furthermore, whatever we did do, there would be <u>no</u> second Mission Kasanza and <u>no</u> jobs. Our only objective, we said, was to help people do things for themselves.

<u>Appendix</u>

The following table gives the breakdown of the sample studied by village:

Village	Households	Sample
Wenze	33	11
Kikulungu	55	19
Sesi	112	38
Kitabi	36	12
Kapata	12	4
Kingungu	30	10
Lungangu	17	6
Totals	295	100

Some Observations

None of us who participated in the study were exactly novices to village life -- we had all spent many days and nights in the village, living with the people. However, we were amazed at what we had not known. As my counterpart said after we finished the interviews, "My eyes have been opened!" The experience of systematically visiting with people in depth gave us a whole new level of understanding of the village situation. Although it didn't begin to tell us everything we needed to know, it did at least suggest which questions we needed to ask.

My primary justification for the survey at the onset was to suggest some guidelines for our community development activities in this area. I am satisfied that we achieved this objective. I also hoped to teach my colleagues some things about research methodology and evaluation techniques. Time will tell how much they learned, but I think they got some new ideas. However, I had not counted on what would happen to the community development agents themselves as a result of their participation in the study. One's unsolicited conclusion was, "I have been touched in my heart by what the people have said to me. I am touched -- and saddened -- by what I have heard. We must think very deeply what we can do to help the people help themselves. We need to plan carefully because the problem is much more difficult than I had thought...we have to go beyond fields and animals and deal with the consciousness of people."

II. Survey Findings

This was an attempt to briefly summarize some of the results of our Kitabi survey, highlighting those items which were particularly relevant for our community development program planning. Given the 240 variables in the study, the possible permutations in a complete analysis are almost infinite; so instead of attempting to show relationships among all these combinations, I tried to review, in very simple form, things that might have helped us understand what was going on at Kitabi.

Adult Literacy

- The literacy rate at Kitabi is 30% - of the adult heads of households
    - just over half of the males are literate (57%)
    - less than 4% (3.9%) of the women can read and write
- 80% of those who are illiterate said they would participate in an adult literacy course if it were offered in their village
- The 20% who said they would not be interested in a literacy course, gave age and the infirmities of age as the primary reason, though one woman said that she just didn't want to learn how to read and write

- In response to a question asking what they might learn that would improve their lives, 31% of those responding said, "to read and write"; one must, however, recognize that 30% of those respondents are already literate.

Commentary

The disproportionate rates of literacy between males and females can easily be explained when one looks at the history of education in Zaire. The first children to attend the schools were boys -- even now many more boys attend schools, particularly post-primary schools, than girls. Boys, it was believed, needed education so that they could get jobs and support their families, so many more of them attended school than girls, who were expected to stay home and make fields. For them, it was thought, education would be a waste, particularly since their worth as persons was measured by their potential to produce a bride-price, which was ultimately a function of their productivity in terms of fields and babies. You can plant manioc and make babies without knowing how to write your name.

Ironically, with the decline of the palm plantations after independence and particularly after the expropriation of expatriate businesses, there are far fewer jobs available to the men in the Kwilu area. Palm cutters, road repairmen, and oil press operators, who formerly drew regular salaries which they used to support their families, pay school fees, and taxes, now have no source of income apart from field work, which is generally considered women's work. As a result, as our survey brought out, the women of Kitabi have higher incomes than their husbands, so are essentially supporting their families through the sale of manioc, and to a lesser extent, peanuts and corn. These women, being both illiterate and unable to do simple arithmetic, are then cheated by businessmen who exploit this ignorance. The men who are more likely to be literate than the women do essentially nothing, while the women who generally can neither read nor add are engaged in commerce.

Any adult literacy course, therefore, should not only be geared to women but include the basic arithmetic functions that are involved in purchasing supplies and selling produce. With universal primary education an alleged goal of Zairian educational policy, more girls are entering school, and the illiteracy rate of women should decline proportionately. One cannot, however, wait for this generation which is becoming literate in school. Something has to be done for the adults of today.

Adult Education

- Educating their children is parents' highest stated priority according to our survey
- However, education is also seen as being important to adults too; 13% of our sample said education was only for children; 85% said adults should learn as well
- When asked what they could learn that would improve their lives, villagers said:

- Reading and writing (31%)
- How to raise animals (19%)
- The things of God
- How to make fields

- The population of middle class teachers/nurses/store-keepers wanted to learn the following:
  - How to raise animals (72%)
  - How to engage in commerce (28%)
  - How to make fields (22%)
  - Another occupation (11%)
- The "farmers" said they would like to learn:
  - Another occupation like chauffeur or mechanic (38%)
  - How to read and write (25%)
  - How to raise animals (25%).

Commentary

Villagers, living closer to the subsistence level than "farmers" or the salaried middle class, are less interested in economic things than the farmers and the middle class, and more concerned about the spiritual. The interest in spiritual things declines with an increase in social class. Teachers, having money to invest, are particularly interested in learning how to raise livestock, seeing this as one of the main ways open to rural people for accumulating capital. Farmers on the other hand aspire to becoming salaried chauffeurs or mechanics, rather than self-employed producers. How reading will improve village life is not entirely clear from the data, but one subsistence cultivator angrily stated to us during a village meeting, "In 1960, the people who knew how to read and write got their independence. The rest of us didn't get anything! The rest of us," he continued, "got...," and then he stamped his foot on the ground and sat down. Being illiterate, for him, was symbolic of his marginal status within the social system. Consequently, learning to read and write had higher value than simply learning new economic production techniques, since it implied becoming integrated into the system.

The Teacher of Adults

- The quality in a teacher of adults most sought after by village people is intelligence:
  - 37% said the teacher of adults should be intelligent as the most important qualification
  - 30% said the adult teacher should know how to visit well with people
  - 24% said it is most important for the teacher of adults to have a good education
  - Only 4% said being well-known in the community is the adult teacher's most important qualification.

Commentary

Having mayele -- intelligence -- is valued highly in Zairian society, as is having the time and inclination to visit with people. However, with the strong emphasis on the diploma in this area, it was somewhat surprising that more people did not insist that their adult teachers be highly educated. Since village people are extremely suspicious of strangers, we feared that it would be necessary to find people to work as extension agents in their home areas -- a difficult feat. This, however, was the least important criterion for the teacher of adults and confirms our decision to choose extension agents on the basis of their native intelligence (ability to learn) and their ability to relate well with people.

Adult Education Courses

- Adult classes for men in the village should be held either in the morning (38%) or in the afternoon (31%)
- Women also reported preferring the morning (55%) or the afternoon (29%).

Commentary

While women say they would prefer learning in the morning, it is very difficult to get them to attend morning village meetings, since they usually leave for their fields by 7:00 a.m. Women return from their fields around 4:00 in the afternoon, usually very tired from a hard day's work, and then have to cook for their families before they can relax. Most women go to the fields five days a week, staying home two -- Friday and Sunday. The solution would therefore probably be to hold classes for women on the two mornings per week that they don't go to their fields, and for the men, almost any time would do, though the morning would be slightly better.

Division of Labor

- The women are generally the farmers while the men have traditionally been the hunters and warriors
- Manioc and peanut fields are clearly women's work though the men will help in cutting down virgin forest during the dry season; the women are the ones who will cultivate, plant, and harvest
- Planting coffee fields and raising soybeans is part of the man's role, though a few women are also planting soybeans
- Other crops, like corn, rice, and fruits fall somewhere in between
- Though the men are expected to make the cattle corrals and dig the fish ponds, livestock production is the task of both men and women
- Younger men are somewhat more disposed to making fields than older men

- More men are making fields now than ever before, thanks to the government's policy of salongo fields; some of the older men are somewhat bitter at Mobuto for changing cultural patterns, saying "We didn't use to have to make fields, but now that Mobuto has this salongo thing in his head we have to make fields too"
- Middle class males are very vocal in their protestations that men should be engaged in agriculture in the village; however, while many of them own livestock and fields, the work is almost invariably done by hired help or by their wives
- Although there is a capita of the women in each village, the political structure is essentially male -- chiefs, village headmen, les notables (the "notables"), the Lembas ("clan elders") and the partly militants
- Salaried positions are generally held by men -- palm cutters, road repairmen, oil press operators, cowboys, day laborers and store clerks.

Commentary

Historically, women have been the agriculturalists while the men concentrated on hunting, fighting, and ritual. With rising population and the introduction of firearms, there was an increase in hunting, or at least an increase in successful hunting, with the result that there are few wild animals left to hunt. This process was also aided by the fact that the virgin forest has been increasingly cut down and planted over with fields. The Belgian colonial government created the Force Publique to maintain order, meaning that the men have virtually lost their role as warriors as well. At the same time, ingrained cultural patterns prevented the men from making fields -- fields are considered women's work. However, with the introduction of palm plantations and oil presses, many of the men found salaried employment which lasted until the decline of the industry in the sixties and its virtual collapse in the seventies.

Without animals to hunt, enemies to fight, or jobs to hold down, village men occupy their time with politics, ritual, and palm wine. The ones who aren't satisfied with that drift to the cities to look for work or live off employed relatives. The government's policy of "back to the village" has had only limited success so far, although the salongo fields required by government have forced some men to become agriculturally productive.

While forced cultivation has succeeded in getting some men to the fields, there is a feeling among the voluntary agencies in the area that the introduction of appropriate technology would help the men overcome their traditional reluctance to till the soil. Hoeing is women's work, but guiding a bullock which pulls a plow, it is felt, would be considered a proper role for men. Consequently harnessing the bull is seen as the first step toward unharnessing the woman. PAP, however, is still in the stage of training the animals, though they should be ready for the plow within another year.

Livestock Production

- Chickens are the most common form of livestock raised in the Kitabi area; 61% of the families have at least one chicken, with the average "flock" being less than five birds
- 42% of the families have at least one goat
- 36% of the village families have at least one fish pond; more fish is produced than any other kind of meat
- Only 2% of the families have cattle in the area
- In response to a question regarding what they would do if they suddenly came upon 50 Zaires, many of the respondents said, "buy livestock," particularly cows.

Commentary

Animals, particularly cows, are considered investments since they reproduce and appreciate in value. They also convey prestige since they symbolize wealth and provide a hedge against inflation. Cattle, though costly to buy, are a relatively safe investment since they survive well in the village with very little care and are not subject to epidemics such as Newcastle disease which wipes out flocks of chickens on an almost annual basis. This area has also been hard-hit by a still unidentified disease problem among the goats which has been known to kill a dozen animals in a village within a week.

The fact that chickens cost very little, are easy to care for (all that is needed is to lock them up in the kitchen at night -- the rest they do themselves), and have considerable ritual significance in African society probably accounts for the prominence of polutry in village livestock production. A person also kills a chicken and has it for a meal, unlike larger animals such as goats and cattle. People are just not going to kill a goat because they happen to be hungry for a leg, though they would butcher a chicken and even a rabbit. This is what makes rabbit production attractive in the village.

Fish production, probably the primary source of meat in the area, undoubtedly has the greatest potential to increase the consumption of animal protein, since a fish may be caught every day without destroying the pond. Butcher a larger animal like a cow and then you feast and after that you famine. There is a tremendous interest in fish culture because fish produce well (one properly managed fish pond 10 meters by 20 meters will easily out-produce a cow!), do not need specially prepared and costly feeds, and are not subject to disease like other animals in the village.

Crop Production

- Manioc, peanuts, and corn are the major crops in the area
- 95% of the sample said they plant these crops for sale and eating rather than simply to sell or only to eat; nearly everyone aspires to obtaining cash for their crops

- Formerly the people planted fields both in the plain and in the forest, but in recent years production on the flat plains has been very poor, so they are cutting down more and more of the forest for their crops
- Shifting cultivation -- "slash and burn" -- is the predominant production pattern
- When asked why they didn't make more fields this year, the responses were: The forest is far from the village so it's hard to walk there every day; there are not enough commercants around to buy everything so people eat their crops instead and there is a limit to how much one can eat; the women need a certain amount of time to take care of their families -- to do the cooking, clothes-washing, etc.
- 11% of the families reported trying to raise soybeans during this past year, though some of their plots were as small as several square meters.

Commentary

The dream of every cultivator is to be able to sell what he/she has produced, but his won't be possible until there are some basic changes in infrastructure -- roads, markets, availability of agricultural supplies, etc. Were there a guaranteed market, production would increase in spite of the infertile soil and physiological limit on what one person can do. While villagers can sell some of what they produce, the problem is in the uncertainty of knowing whether they will be able to obtain cash for their crops, or whether their manioc and corn will rot in the granary or be eaten by rats and insects. When that happens, I have often heard people say, "All my strength has gone for nothing." "Not being able to sell our crops makes us lazy to make fields," say some. And others: "There is no more strength to work."

Production could be increased with the use of compost, green manure, ashes, termite hills, ridging, and contour farming. There are too few animals around for the use of manure to be very practical. The forested valleys where the people are now making fields are too steep for a bull and plow, assuming that bovine traction is a possibility for the future.

Eating Habits

- Village people eat very little meat or fish:
    - -9% of the people eat fresh meat more than once a month
    - -71% eat it less than once a month; 20% eat it once a month
    - -13% of the people eat canned meat more than once a month
    - -30% of the people eat fresh fish more than once a month
    - -17% eat dried fish more than once a month
- 12% eat eggs more than once a month; 55% don't eat eggs at all; another 29% eat eggs but less than once per month
- 91% eat groundnuts (peanuts) more than once a month; 73% have them more than once a week.

Commentary: Protein Foods

Fish is the most commonly eaten form of animal protein in this area, probably because of the high number of fish ponds built along the many streams that flow around Kitabi. Fresh meat, on the other hand, is rare. Many villagers go three months without tasting it, and then only because someone's goat died so it is butchered and the meat sold. Although people eat animals that die from diseases or other natural causes, live animals are usually slaughtered only for feast days like New Year's Day, marriages, and other ceremonial occasions. Chickens are somewhat of an exception in that they may be eaten any time, though there are few enough of them that it occurs quite infrequently.

Part of the solution to the protein problem is to increase small animal -- chickens, rabbits, guinea pigs, ducks -- production, so that people can occasionally eat meat without destroying their animal herds. Small animals can prevent the feast/famine syndrome. If you kill a cow today, you will probably eat meat three times per day until it is gone because there are few means of preserving it in the village. Then, having killed the cow, you have lowered the reproductive capacity of your animal project by a significant degree, assuming that most cattle "herds" in the village consist of only a couple of animals. An increase in the number of fish ponds would probably be even more significant in improving dietary habits, since fish are easier to raise and less subject to disease and other problems than chickens or rabbits.

People eat very few eggs since the few that village hens do lay are usually saved for hatching. There are also certain ritual taboos on egg consumption, particularly among the women. Since women are afraid of compromising their fertility by eating eggs, they will feed them to their husbands and themselves starve for protein, particularly during pregnancy and lactation when their protein requirements are higher.

Apart from manioc leaves which each Kitabi family eats almost daily, peanuts are probably the prime source of vegetal protein in the area. While there is considerable potential for soybean production in the area, soybeans are seen more as a cash crop than as a source of protein.

- 94% of the people eat corn in some form more than once a week
- 1% of the people eat rice more than once a month; 82% of the people never eat rice
- 25% of the people eat oranges, grapefruit, and lemons more than once a month
- 35% eat pai pai more than once a month
- 33% eat pineapple more than once a month

- 6% eat avocado more than once a month
- 46% eat bananas more than once a month.

Commentary: Cereals and Fruits

Corn is the most frequently consumed cereal in the Kitabi region, eaten both on fresh roasted ears and as corn flour mixed in their luku. Rice has been introduced in the area but has been produced more by farmers than by villagers. While people do enjoy rice on rare occasions as a dessert, it is not a substitute for luku since the former does not give the heavy, "full" feeling that they associate with having eaten manioc mush. When we asked what would happen if the manioc crop were destroyed for one reason or another so that there would not be any luku available, the virtually unanious response was, "We all would die!" While rice is nutritionally better than manioc, those who argue that the former should be substituted for the latter fail to recognize what manioc means in the Zairian economy and culture.

First of all, as already stated, rice does not satiate the appetite as does manioc. Culturally determined, this could change with time, but there are other very good reasons for raising manioc in the village. Manioc can be harvested within 18 months of planting or left for over two years before digging the tubers out of the ground. Corn stored in people's houses in the village is often eaten by pests such as rats and insects. Studies of storage practices in Africa report loss to pests is probably responsible for a larger portion of the hunger problem than any other factor. Manioc "stored" in the ground, however, can be left until it is needed or until there is an opportunity to sell it. Manioc, dried and sacked, is also more pest-immune than other crops once harvested so it is better for selling when depending on the uncertainty of commercants for a market.

People eat very little fruit, with bananas being the most frequently consumed items. While there are a number of grapefruit trees around, most of that fruit is used by primary school children as soccer balls rather than eaten by the people.

- 75% of the Kitabi people eat two meals a day; the rest report eating three
- mealtime is usually around 7:00 - 8:00 in the morning before the women go to their fields, and again between 5:30 - 6:30 in the evening
- the evening meal is usually hot luku (manioc mush) with greens, and the morning may be either hot or cold luku with greens; some eat mostly leftover, cold luku in the morning, while others cook it fresh in the morning, mixing in the leftovers from the night before.

Commentary

While there are usually two "meals" a day, the people eat peanuts, oranges, sweet potatoes, and occasionally bananas during the day, but these do not qualify as a "meal" since they are not luku. In Kitabi one often hears the word "food" substituted for luku. "We haven't eaten food today," means that although they have eaten all of these other things -- sweet potato, peanuts, fruit, etc. -- they have not as yet eaten manioc, their staple.

- Although 19% of those responding said they began giving their children luku during the second month, the majority of the parents (55%) said they began feeding their children luku at the age of six months
- There is great variation in the age of children at weaning; 35% said they wean their children when the children themselves voluntarily stop drinking milk
- 7% of the families with children have at least one suffering from milk malnutrition as measured by the circumference of the child's upper arm (ages 1 to 5)
- 2% of the families with children have at least one child suffering from serious malnutrition between the ages of 1 and 5 years
- Corn mush (corn flour mixed with water) is the most common supplement to mother's milk before babies begin eating luku.

Commentary

The data on malnutrition, if anything, understate the case, since it was impossible to measure all of the children of the parents in the sample. Some of the children were with relatives in other villages during the survey, and others just did not seem to be available. The malnutrition problem is more serious than the data suggest.

Family Income

- More women in the village have a cash income than men:
  - 80% of the women in the survey reported that they earned at least one Zaire per month
  - Only 55% of the men reported earned at least one Zaire per month
- The average income of men is just over 3 Zaire per month
- The average income of women is 2.80 Zaire per month, slightly less than the men
- However, the median income of women is somewhat higher than that of the men:
  - Median income of men is about 1.40 Zaires per month
  - Median income of women is 2 Zaires per month.

Commentary

More women in the villages around Kitabi are earning money than men. 42% of the male population earns between 1 - 6 Zaires per month, while 76% of the women fall in the same income category. Only one woman reported making more than 9 Zaires per month, while six men said they made that much (more than 9 Zaires). The statistics show that the average income of men is higher than that of women, but the distribution is skewed by the fact that while there are several men in the upper income categories, no women reported earning more than 12 Zaires.

The income data closely follows what we had suspected from our observations. The "average" village woman sells about one sack of manioc per month at a price of between 2.50 - 3.00 Zaires per sack. The men, who generally do not produce manioc earn somewhat less; so the women are the ones who pay school fees for their children, buy medicines, and pay the family taxes.

When the palm plantations and oil presses were in full operation, many men were employed, earning more than their wives did from the sale of produce. Complaining bitterly about the decline of the palm industry, a number of men said: "We don't have any money any more. Our women have to support us, even paying our taxes." Then they often continued by demanding jobs so that they wouldn't be dependent upon their wives.

Although commercants do not usually come to Kitabi more than once a month, there is still a market for manioc in the area, however limited. Women are taking advantage of it to sell their produce, as could the men if there were a change in cultural patterns affecting the division of labor in Zairian society. In a village meeting, one man admitted: "We can't say that we have no opportunities to make money. We can say that there are no salaried jobs. If we men wanted to make fields and sell manioc like our wives do, we could." The problem, however, is that with the advent of colonial adminstration, multinational corporations filled a hole in the male role caused by the decline in hunting and fighting, with salaried employment in the palm oil industry. Thus the history of the cash economy is based on the foreign corporations, and with its decline in the Kwilu area, the men associate the male role with salaried jobs so are reluctant to begin earning their living from the soil.

III. Some Preliminary Observations

Although we have not had a chance to analyze the data from this study, reading over the questionnaire has given us some general impressions which I would like to briefly summarize. During the month of April, we hope to analyze the data using descriptive statistics to

get more specific information which will then be used in program planning. Later, we hope to do a more sophisticated analysis -- inferential statistics -- to arrive at some more theoretical generalizations that go beyond "what do we do next" in the program.

The following is a mixture of observations, generalizations, hypotheses, and just plain guesses regarding what I think is going on in the Kitabi area:

1. Age of the village population:

   - most of the young men have fled the village for the city
   - there is a disproportionately high number of old widows in these villages.

2. Urban migration:

   - most families have at least one child in the city
   - a frequently stated fear was that children will leave for the city and not take care of their families left behind in the village
   - many of the older people longed nostalgically for the days when the children stayed home instead of going away to look for work
   - young people who left to look for work in the city are still considered members of the village even if they haven't been there for a long time
   - the rate of migration to the cities is accelerating as young people are increasingly exposed to the good life -- radios, bikes, tape recorders, new clothes -- but don't have the ready cash to enjoy these things
   - while there is a great deal of concern about this migration, nobody is sure what to do about it.

3. Opinion shapers -- influential people:

   - agricultural <u>moniteurs</u> are more likely to be listened to if they present a new idea, than people's children in school or a neighbor
   - radio has very little influence among subsistence cultivators; few have radios and few listen to them according to our results
   - middle class is more influenced by radio; also has more of them
   - as income increases, so does possibility of being influenced by radio
   - people probably listen to the agricultural <u>moniteur</u> not because they respect his judgment but because he has the power to fine them if they don't listen.

4. Felt needs -- problems reported by respondents in order of importance:

   - most frequently mentioned problem people reported is need for salaried employment
   - second problem is that <u>commercants</u> don't come to buy their agricultural produce
   - another felt need was for money -- cash
   - people also reported a high incidence of illness as a significantly felt problem.

5. Priorities of the people -- how they would invest their money (of subsistence cultivators)

   - first priority is to educate their children -- "old age insurance"
   - second is food -- subsistence
   - clothes are third
   - fourth -- buy a cow -- capital investment
   - fifth -- buy radio or tape recorder -- luxury goods.

6. Changing pattern of parent/child relationship:

   - parents place high hopes in their children -- children will care for them later
   - parents invest what little money they have in children's education
   - parents greatest fear is that children won't take care of them in old age
   - children feel their families are a drag on them so want to leave in order not to have to give everything to them when they find work
   - the middle-aged parents (with children in school) are investing what little they have in their children, expecting the children to help them in old age; these same children want to get away as soon as they are educated so that they will not have to help their parents in spite of the investment that the parents have made in them; result of this will probably be social disorganization
   - witchcraft is the strongest sanction against more of this happening; people say they send money to their families because they are scared not to.

7. Family size:

   - would guess that around 30% of households are polygamous; perhaps less
   - generally believed to have many children for two reasons:

- to have some one to help in old age
- it is the will of God to have children -- many of them
- some say that God decides how many children one should have; therefore a mere person cannot suggest if one should have many or few
- more young people -- those with education -- want smaller families
- those families that want fewer children usually do so because of cost of education.

8. People's hopes for the future -- wishes:

- most are economic -- jobs, money, etc.
- next important are for children -- to give birth to many; to get them educated; and that they will help the family in old age of the parents
- wishes become more spiritual and less material with age; older people want to worship God, to pray, to be good, to fulfill God's will
- some of the older people said they had no hopes and that they were only waiting to die
- would hypothesize a high correlation between income/capital investment and economic hopes.

9. People's fears for the future -- things that frighten them as they think ahead:

- their own deaths first of all; after that, death in the family
- illness in the family would probably be second
- next important fear is that the children will leave their parents and not care for them in old age.

10. Children's education:

- people's highest priority in terms of investing limited resources
- parents prefer educating their sons rather than their daughters if a choice is necessary; the first reason is that boys can help them more later when they get well-paying jobs as a result of their education; secondly, because boys are believed to be more intelligent than girls.

11. Fatalism:

- high degree of fatalism -- people only get ahead in life if God wills it
- God is generally accredited with the fact that people don't get ahead
- Christians are more fatalistic than animists

- Protestants are more fatalistic than Catholics
- women are more fatalistic than men
- older people are more fatalistic than younger people
- educated people are less fatalistic than uneducated ones
- the will of God is more important than hard work to have a good life
- the richer the people are, the less fatalistic; the line of causality probably runs in the other direction.

12. Level of consciousness very low:

    - people have nothing but don't realize they are poor
    - people measure their situation by whether they have enough to eat: "We are fine in this village; there is much <u>luku</u> now"
    - the higher the level of consciousness, the lower the fatalism and the more likely people are to have economic goals
    - there is more sense of class consciousness among the middle class than among subsistence cultivators who exhibit a greater sense of exploitation
    - raising consciousness could lower fatalism but might at the same time raise frustration and make people unhappy as they realize structural causes of their oppression.

13. Hunger in this area had several causes during the late sixties and early seventies:

    - a snake in the ground dried up the manioc (the Kikongo word snake translates into French as "virus," but I have to do more research on this one)
    - a second cause was the rebellion in 1964-65:
        - the bullets that were used poisoned the ground
        - people hid in the forest and couldn't make fields
    - when the chief of the village of Sesi died, the people buried some manioc with him so that he wouldn't go hungry on the voyage to his ancestors; when the chief saw that, he became angry, thinking that the people no longer needed manioc; so he killed it all off
    - God was punishing the people because they had been bad
    - middle-class people and those subsistence cultivators with more fields and livestock were more likely to blame the hunger on laziness.

14. Why people didn't make more fields this year. Because:
    - sickness in the family
    - there was no one to buy what they had already produced
    - death in the family; people were in mourning
    - the agricultural moniteur didn't want them to plant more, said the people should save some virgin forest for the years ahead.

15. Health:

    - people reported that their health was between somewhat good and good.

A. A Seven Village Study -- Zaire: ANNEX

SURVEY RESEARCH AND NEEDS ASSESSMENT:

A ZAIRIAN CASE STUDY

by

Merrill Ewert, Mennonite Central Committee

Phase I - Introduction

1. Invitation to Kitabi

- came from the community through the local pastor
- was based on existing relationship with the mission
- assumption was that the "mission" could solve the community's problems with bedbugs and termites

2. Developing rapport

- team made an exploratory visit in which spraying experiments were carried out
- program assigned a development catalyst on the assumption that there was community support for such a project
- community development catalyst sprayed houses and developed some demonstration rabbit, chicken, and soybean projects
- members of the rest of the PAP community development team made regular visits to the community (two per month)

3. Awareness of needs

- team became aware of problems of agriculture, nutrition, and social disorganization
- local program agent functioned as member of local social system; rest of the team participated in the life of the community during their visits
- was a gradual process of learning to understand some of the problems of the area

4. Nagging questions

- team wanted to know more about how people lived and thought about things
- desire to have baseline data to evaluate the program at a later date
- interest in understanding concerns of a cross-section of the community and not just the most articulate or gregarious

Phase II - Conceptualization of Research

1. Idea of a survey

- grew out of team discussions about community development; feeling that we needed to closely examine local needs
- was a feeling that we didn't know enough about the community and its concerns

2. Areas of interest

- state of agriculture
- nutritional level and eating habits
- division of labor
- view of social structure
- attitudes and perceptions

3. General questions

- what are the agricultural roles of men and women?
- what agricultural activities are practiced in the community?
- how do people perceive social relations in the region?
- what are the values, concerns, and aspirations of the people?

Phase III - Preparing for the Study

1. Permission received to do the survey*

   - discussed with local Chef de Groupement; he in turn obtained permission from the Chef de Collectivite; the latter cleared it with the Commisar de Zone

   *The study was discussed with community and regional officials in terms of identifying needs and using them in program planning.

2. Formulating specific questions

   - team members individually listed areas of concern and questions that would elucidate them
   - views of other community development practitioners were solicited
   - examined similar studies for ideas

3. Developing the instrument

   - questions were examined, compared, revised, and ultimately arranged into a logical sequence
   - process was a dialogical one between team members with informal input from other community sources

4. Training interviewers

   - members of the community development team served as interviewers
   - interviewing techniques were learned through role-playing
   - several days were spent reviewing some of the assumptions of the interview process and practicing giving interviews

Phase IV - Testing the Instrument

1. Pretesting the instrument

   - interviewers tried the questionnaire on each other
   - friends and family were interviewed for practice and to identify problem questions
   - around 15 - 20 interviews were done at this stage

2. <u>Rewriting the instrument</u>

- ambiguous questions were clarified
- offensive questions were reworded or dropped
- relevant questions were added
- priorities were established; questionnaire shortened

3. <u>Field-testing the instrument</u>

- 20 - 30 interviews, or parts of interviews, done to check out the instrument
- error at this point was in not doing the field test in the community; result was that several questions that should have been dropped for conceptual reasons were retained

4. <u>Rewriting the questionnaire: the end result</u>

- number of questions was reduced
- introductory statements made for several questions
- some reorganization to eliminate bias

Phase V - <u>Doing the Research</u>

1. <u>Introduction to the villages in the community</u>

- visited each community with the <u>Chef de Groupement</u> who introduced the purpose of the study and outlined the procedures to be used (sampling, etc.)
- team explained how the research findings would be used in the program plan

2. <u>Drawing a random sample</u>

- drew map of each village showing houses inhabited by tax-paying adults
- houses were numbered on the map
- numbers written on slips of paper
- slips of paper randomly drawn to provide sampling frame

3. <u>Interviewing respondents</u>

- each interview lasted from 45 minutes to 2 hours
- men generally found during the day
- women most available for interviews in the evening

4. Checking up on the answers

- visited informally with some respondents in each village after their interviews to see whether the results were consistent with the attitudes and feelings expressed at other times
- checked up on factual data and sought to assess whether respondents gave real feelings
- also used to identify problems of interviewers

Phase VI - Follow-up to the Study

1. Analyzing the data

- done by the community development team
- used cross-tabulations and averages
- later more sophisticated analyses done with help of computer

2. Staff review findings

- findings examined during staff seminar of community needs and the PAP program
- "debriefing" papers were written by team members and discussed

3. Community discussions of findings

- findings were starting point of community meetings
- examples used in discussion drawn from the study

4. Incorporating findings into the program

- learning experiences planned on the basis of what was learned in the study (seminar on fish production, literacy class, etc.)
- findings served as background for future program decisions

B. Country-Wide Research -- Costa Rica *

Jeffrey Ashe, Accion/AITEC, Discussant

Some of the major drawbacks of survey research are cost, time required, and the danger that results will be unrelated to practical needs. Through more than two years of technical assistance to the Costa Rican Institute of Municipal Development (IFAM), AITEC, working jointly with that institution, developed a low cost, rapid methodology to determine conditions in rural communities and their priority needs for development oriented to policy makers. (See Annex for Questionnaire.)

Action oriented researchers want the finding of their studies to be used. To insure that research will be used implies a conscious strategy at each step in the research process. They also hope the projects they recommend will have a positive impact when put into effect. To insure projects based on recommendations will have a positive impact requires clearly articulated goals for the development process. Once goals have been defined, the data needed to make recommendations to meet these goals becomes much more evident. The goal of the development process implicit in this investigation work was to slow rural-urban migration by increasing employment opportunities and improving services and infrastructure, while increasing the viability of existing smaller farms and enterprises, and maximizing local participation in the development process.

In Costa Rica, the cantones, or "counties" of this country of two million have a broad mandate to promote the development of communities within their boundaries. Although the efforts of municipal governments are concentrated in the cabeceras cantonales or "county seats," they are also responsible in part for the maintenance and sometimes the construction of farm-to-market roads and basic services such as water, electricity, public streets, classrooms, reforestation, irrigation and marketing programs.

If IFAM was to provide both financial and technical assistance to the rural cantones, where should it concentrate its resources to improve services and stimulate the local economy? Historically, most of IFAM's projects were located in the cabeceras cantonales in the cantones near the capital city. But the Government and the international lending agencies urged the funding of rural projects. Lacking baseline information on the hundreds of small communities in these areas, IFAM contracted AITEC to develop a system of data collection and to jointly carry out this investigation. The purpose of the investigation would be to establish a first approximation of the development needs of these communities.

* This material is excerpted from the draft of a manual: Assessing Needs in Rural Villages, A Manual for Practitioners, by Jeffrey Ashe, to be published mid 1978 by AITEC. It covers additional areas such as secondary sources of information, questionnaire development and testing, administration, training, variables, coding, priorities and formats for reporting.

In most studies, far more data is collected than is used or needed. For example, most studies of water systems include complex calculations on the flow of water per second, the size of piping, the adequacy of the distribution, etc. This information, which often requires a full day's visit to an engineer, is included to determine the cost of a proposed project. To merely determine whether a community has a priority need for water much less information is needed. We ask first whether or not the community has a water system. If so, what proportion of the houses have water service. A water system with insufficient water or that functions poorly also has a priority need for improvement. We ask the number of months water was rationed last year and how long the system was shut down for maintenance problems. Finally, we ask if the improvement of the water system is considered to be one of the priority needs for development in a community and if it is, how the community is willing to contribute to the installation of the system.

This information, which may require only a few minutes to collect, is adequate to establish a first approximation of a priority need for this service. More complete information would not significantly improve an ability to establish priorities and would greatly increase the costs of data collection and coding, and needlessly complicate project reports. More detailed studies would determine which projects would actually be financed. Survey costs were reduced by designing a research methodology that would determine these needs at an acceptable level of accuracy while keeping within tight budgetary constraints. Given the need for quick results and the low level of training of those who were to carry out the investigations, the following methodology was decided upon:

A single interview would be completed for each community through a conversation with a group of local people considered to "know the area." One questionnaire would be used to collect all information. The basic hypothesis underlying the group interview is that a group of people who have lived in a community for several years and who are locally recognized as "those who know," have an excellent "feel" for community problems and conditions. While in a survey the respondent is asked to generalize about himself, his family or his farm or business, here we asked the group to generalize about the community. This methodology cuts down the time required to collect information in each community to about three hours. Since all information was collected in a single interview on a single questionnaire, data collection was much faster, and therefore cheaper than identifying a sample within a community, and locating and interviewing the sample. Accuracy was checked. Group responses corresponded closely to census data for factual information -- migration, basic services, etc. -- they also corresponded very closly to opinions in at least one important area, the perception of priority community problems. The ordering of community problems was the same in these interviews as with a random survey of 1,500 household heads taken three years before, with roads being the most frequently mentioned problem, followed by water, electricity, education.

By combining the information collected through community surveys and secondary sources of information this system:

1. establishes basic social and economic trends;
2. specifies the problems faced by farmers;
3. indicates the magnitude of development problems;
4. establishes priorities for these types of projects and
5. provides a baseline against which the effectiveness of programs can be measured by comparing the number, type and location of projects completed compared to the needs established by the research program.

Over the two and one-half year life of the project, the IFAM/AITEC team carried out interviews in 860 communities (all of those with a population of more than 200) in 56 of the 80 cantones in Costa Rica which included 96.5% of the surface area and 54% of the country's population. Based on this information, reports were prepared including:

1. community profiles on basic services;
2. cantonal summaries of social and economic trends and priorities; needs for infrastructure and basic services;
3. specialized reports in the areas of employment, roads, rural industries, basic services, housing, health care and educational facilities, evaluation, and
4. a final report indicating the problems of the five rural regions and a strategy for the integrated development of these rural areas.

Showing the close relationship between the research program and decision-making, the reports have been used to:

1. orient the general policy of IFAM in the rural areas;
2. aid in the planning efforts of other government agencies;
3. provide basic information for the selection of road and infrastructure projects;
4. provide baseline data for petitions to international agencies for the construction of farm-to-market roads and basic services in small communities;
5. justify an integrated rural development program in two of these counties to put into effect the recommendations in the reports;
6. provide information on rural conditions to other researchers.

The experience of carrying out this research has provided us with a set of general rules to insure research will be used. The active participation and involvement of the sponsoring institution is essential. To bridge the gap between research and action, it is generally necessary to:

1. Involve key decision makers to develop a clear understanding of why the research is being carried out, what is to be studied, and how it is to be used. It is likely these issues have not been thought through carefully. Interest is developed through participation and the enthusiastic support of these decision-makers is essential to insure findings are used.

2. Involve as many groups and agencies in the design of the research as possible to help insure that the results of the investigation will be widely disseminated.

3. Get to know middle level personnel within the sponsoring agency and solicit their opinions. As they ultimately carry out projects, the more they understand the research and see it as directly relevant to their tasks, the more likely they are to use it.

4. Recognize that a large scale research effort takes resources away from other activities and is likely to cause jealousy and hostility. Beware of the political dimension of your work.

5. Keep the findings of the research project continually in view. Instead of preparing a single final report, prepare simpler, smaller reports throughout the life of the study. This will develop a continuing and increasingly sophisticated interest in the investigation. The IFAM/AITEC study began by providing the agency with lists of priority projects; the final report presented an integrated development plan for the rural areas of the country.

6. Link the investigation to decisions about specific projects. Forging these links is difficult and time-consuming as it involves a basic reorientation in the way decisions have traditionally been made within the agency. Unless the research team accomplishes this linkage, there is little chance the research findings will be used at the operational level.

7. Finally, an important role of the researcher is to educate. Few agencies have thought through what impact their projects have on development. The way reports are written and presented and the informal contacts of the research team with the agency can help clarify or modify priorities.

QUESTIONNAIRE COMPLETED
Date:
By:

QUESTIONNAIRE #

QUESTIONNAIRE APPROVED
Date:
By:

QUESTIONNAIRE CODED
Date:
By:

COMMUNITY QUESTIONNAIRE

INTERVIEWER: ____________________

COMMUNITY: ____________________

DISTRICT: ____________________

COUNTY: ____________________

RESPONDENTS:

NAME	OCCUPATION

MIGRATION

1. How many people have moved to this community in the last five years?

   Many ________ Some ______ A few _________ None ______

   1.1 Where do most of them come from?

   Around here ___________ (SPECIFY) ________________________________

   From other parts of the country _______ (SPECIFY) _________________

   1.2 Why have they moved here? ____

   ____

   ____

   ____

2. How many have left this community to live somewhere else in the last five years?

   Many _________ Some ______ A few ______ None ______

   2.1 Where do most of them go?

   Near Here ______ (SPECIFY) ___________________________________

   To other parts of the country _______ (SPECIFY)____________________

   2.2 Why have they left here? _______________________________________

   ____

   ____

   ____

   ____

EMPLOYMENT

3. How hard is it to find permanent employment here? (NOT SEASONAL WORK)

   Very hard ________ Hard ________ Fairly easy ______ Easy _____

   3.1 Why? ____

   ____

   ____

4. How many people in this community are looking for work and can't find it?

   Many ______ Some _____ A few ________ None ______

5. Compared to five years ago, is there more work, less work, or the same amount of work?

   MORE __________ LESS ___________ SAME ____________

   5.1 Why is there (more/less) work now? [1]

   ____

   ____

   ____

   ____

---

1 Reasons given for more work now in Costa Rica:

- new farms
- better marketing
- more and better roads
- new industries
- more access to credit
- more agricultural production (as opposed to more cattle production)

Reasons given for less work now in Costa Rica:

- more mechanization of agriculture
- higher salaries
- expansion of cattle-raising at the expense of agriculture
- little work available to clear land as all available land is in production
- disappearance of non-agricultural work

SEASONAL MIGRATION

6. Are there people in this community who leave every year to work in the harvest or in some other activity?

   Yes ________________ No ________________

   6.1 How many leave?

   Many __________ Some __________ A few ______ Very few ________

   6.2 Where do most of them go?

   To neighboring areas? ________(SPECIFY) ________________________________

   To other parts of the country? ________(SPECIFY)________________________

   6.3 Compared to five years ago, do more _________ less _____________ or

   the same number ____________leave?

SALARIES

7. What is the daily wage of an agricultural worker in this area? ___________DAILY (NOT SPECIALIZED WORKERS WHO EARN MORE)

   7.1 For how many hours? _______________________

   7.2

DOES THIS INCLUDE	YES	NO
food?		
housing?		
land for growing own food?		

AGRICULTURAL PRODUCTION

8. Which is more important in this area: beef cattle, dairy cattle or agriculture?

TYPE OF PRODUCTION	ORDER 1st, 2nd, 3rd	NO SIGNIFICANT PRODUCTION

8.1 IF MENTIONED BEEF CATTLE: In the last five years, has the importance of beef cattle production increased or decreased in this zone?

Increased ______

Decreased ______

No change ______

8.1a Why has the importance of beef cattle production increased (or decreased)?[1]

____

____

____

8.2 IF MENTIONED DAIRY PRODUCTION: In the last five years, has the importance of dairy cattle increased or decreased in this zone?

Increased ______

Decreased ______

No change ______

8.2a Why has the importance of dairy production increased (or decreased)?

____

____

____

8.3 IF MENTIONED AGRICULTURE: In the last five years, has the importance of agriculture increased or decreased in this zone?

Increased ______

Decreased ______

No change ______

---

1 Reasons for increase given in Costa Rica

- More credit
- More land
- Favorable terrain and climate
- Low salaries
- Greater demand
- Low costs in general
- Good prices
- Sufficient labor
- Good roads
- More technical assistance

Reasons for decrease

- Lack of credit
- Lack of land
- Unfavorable terrain and climate
- High salaries
- Less demand
- High costs in general
- Bad prices
- Insufficient labor
- Poor roads
- Inadequate technical assistance

8.3a Why has the importance of agriculture increased (or decreased)?

____

____

____

8.4 Which are the three main crops grown in this zone?

8.4a Which is the most important?
the second most important?
the least important?

8.4b How much is sold commercially?

PRODUCT	ORDER	SOLD COMMERCIALLY			
		ALMOST ALL	MORE THAN HALF	LESS THAN HALF	LITTLE
1.					
2.					
3.					

8.4c Are any of these crops more important now than five years ago?

Yes __________ No __________

Which crop has increased most in importance? ________________

Why? ____

____

____

____

____

____

9. Which of these facilities does the community have for processing, storing or marketing what it produces here?

IF FACILITY EXISTS:

9.1 Does (NAME OF FACILITY) have excess capacity, or is the capacity adequate or is it lacking?

9.2 Is (NAME OF FACILITY) in good condition or poor condition?

9.3 Is what is (STORED/PROCESSED/MARKETED) principally for local, national or international consumption? INDICATE DON'T KNOW IN BOX IF RESPONDENTS CAN'T GIVE ANSWER

FACILITY	YES	NO	CAPACITY			CONDITION		WHERE PRINCIPALLY CONSUMED			COMMENTS
			EXCESS	ADEQUATE	LACKING	GOOD	POOR	LOCAL	NAT-IONAL	INTER-NATIONAL	
MUNICIPAL MARKET MEAT - Slaughterhouse - Meat packer - Tannery											
DAIRY - Milk cooling/storage - Cheese											
AGRICULTURE - Depends on main agricultural products - Rice huller - Grain dryer - Coffee Collecting station - Etc. (for rice, corn, vegetables, bananas, chocolate tomato sauce											
OTHERS * For fish, wood hemp, etc.											

* An exhaustive list should be developed depending on what is locally produced.

9.4 What storage or processing facilities need to be constructed or improved here?

9.4a For which product(s)?

9.4b What are the consequences of not having that facility (or improving that facility)?

FACILITY	PRODUCT(S)	CONSEQUENCES
____________	____________	____________
	____________	____________
		____________
____________	____________	____________
	____________	____________
		____________
		____________
____________	____________	____________
	____________	____________
		____________
____________	____________	____________
	____________	____________
		____________

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INDUSTRY

10. Which of the following industries exist in this community?

INSTRUCTIONS FOR THE DATA COLLECTOR:

Mark in the box "quantity" the number of industries of each type that exist in the community. Ask if the product is principally consumed locally (L), nationally (N) or is principally for export (EXP).

ACTIVITIES	QUANTITY	NO	WHERE PRODUCT IS PRINCIPALLY CONSUMED		
			LOCAL (L)	NATIONAL (N)	EXPORT (EXP)
	SEE	LIST OF EXAMPLES	BELOW		

The following industries are commonly present in rural Costa Rica:
(other than agricultural processing and storage facilities mentioned in #9)

a. Construction materials: brick factory, concrete blocks, gravel pit, saw mill, etc.

b. Manufacturing: Foundaries, metal working shop, clothing factory, box factory, shoe factory, etc.

c. Artisan: Dress maker, tailor, shoe maker, jeweler, musical instruments, etc.

DEVELOP A COMPREHENSIVE LIST BASED ON EXISTING RURAL INDUSTRIES

10.1 Other than the processing facilities mentioned before, are there any other industries that should be developed here?

Yes ______________ No ______________

10.1a IF YES, Which ones?
10.1b Why? (RESOURCE AVAILABLE, URGENT DEMAND, ETC.)

INDUSTRY	REASON
______________	______________
	______________
	______________
______________	______________
	______________
	______________
______________	______________
	______________
	______________
______________	______________
	______________
	______________

ROADS AND TRANSPORTATION

11. Where do people generally go to buy the things they can't buy here or to sell their crops?

______________ ______________ ______________

Community District County

11.1 How do they get there?

11.2 How long does it take? (IN CASES OF ROADS, SPECIFY CARGO TRUCKS)

METHODS OF COMMUNICATION		TIME OF TRANSPORT	
		Dry Season	Rainy Season
1. Paved Road 2. Gravel Road 3. Dirt Road	INDICATE SURFACE OF ROAD AS IT ENTERS COMMUNITY		
4. Path or Trail			
5. Railroad			
6. Boat, canoe			
7. Airplane			

11.3 Is there scheduled BUS, RAIL, BOAT, AIR service to PLACE INDICATED IN #11?

How many times a (day/week) by:

_______ Bus (or other motorized vehicle) __________Daily/weekly departures

_______ Railroad __________Daily/weekly departures

_______ Boat __________Daily/weekly departures

_______ Airplane __________Daily/weekly departures

11.4 Is there a public phone here? Yes __________ No __________

Is there phone service to individual homes? Yes __________ No _______

Is there telegraph service? Yes _______ No ___________

12. Which roads are the most important to improve or construct in this zone?

 12.1 Does this road need to be improved or must it be constructed?

 12.2 Is it passable all year by cargo trucks?

  12.2a IF NOT, is this because of the lack of a bridge, or because of the road surface, or both?

 12.3 Is the area near the road principally an agricultural, dairy or beef cattle zone?

 12.4 What size farms predominate in the area near the road?

 12.5 Which of these roads do you consider to be the most urgent to build or improve?

 The second most important?

 The third most important?
 Etc.

12. Which roads are the most important to improve or construct in this zone?

PRIOR-ITY	IMPROVE OR BUILD		ROAD		PASSABLE YEAR ROUND FOR CARGO TRUCKS			ZONE IS AGRICULTURE (A) DAIRY (D) CATTLE (C)			FARMS MAINLY SMALL (S) MEDIUM (M) LARGE (L)		
					YES	NO surface bridge							
	I	B	FROM	TO		S	B	A	D	C	S	M	L

13. Which bridges are the most important to improve or construct in this zone? IDENTIFY ROAD, NAME OF RIVER, THE NUMBER OF MONTHS THE ROAD IS CLOSED TO CARGO TRUCKS BECAUSE THE RIVER IS TOO HIGH, IF THE BRIDGE NEEDS TO BE CONSTRUCTED OR REPAIRED AND THE PRIORITY OF THIS BRIDGE COMPARED TO OTHERS.

ROADS	NAME OF RIVER OVER WHICH BRIDGE IS BUILT	MONTHS ROAD INTRANSITABLE DUE TO LACK OF BRIDGE	CONSTR-UCTED	REPAIR	PRIORITY
FROM TO					
FROM TO					
FROM TO					
FROM TO					
FROM TO					
FROM TO					

BASIC SERVICES

14. What are the sources of drinking water here?

MARK ALL SOURCES INDICATED:

	EXISTS		SUFFICIENT AMOUNT ALL YEAR?	
	YES	NO	SUFFICIENT	INSUFFICIENT
Wells				
Rivers or creeks				
Ditches				
Springs				
Brought from other communities in tanks				
Rain				
Others (SPECIFY)				

WATER SYSTEM

15. Is there a water system here? (NOT ONLY FOR ONE OR TWO HOMES)

Yes ______________ No ______________

15.1 Who operates it?

COMMUNITY ______________ MUNICIPALITY ________ NATIONAL WATER SERVICE ______

OTHER (SPECIFY) ____

15.2 Are there only public taps or is there service to homes as well?

______________ PUBLIC TAPS

______________ HOMES

______________ BOTH

IF THERE IS SERVICE TO HOMES OR BOTH:

15.2a How many homes have water systems?

______________ a) All or almost all

______________ b) Most

______________ c) Some

______________ d) A few

______________ e) Very few

16. Did all the (PUBLIC TAPS/HOMES) have enough water last year?

Yes ______________ No ______________

IF NOT:

16.1 How many months was water rationed last year? ______________

17. Did the water service break down last year due to maintenance problems or the need for repair?

Yes ______________ No ______________

IF THE RESPONSE IS POSITIVE:

17.1 For how long? ______________________________

What was the problem? ______________________________

____

18. Is there a source of water near here that could improve the existing service or supply a future system?

Yes ______________ No ______________

IF THE RESPONSE IF POSITIVE:

18.1 What type of source and where is it located? ____________________

____

____

19. Is there a plan approved for the construction or improvement of the water system?

Yes ____________________ No ____________________

IF THE RESPONSE IS POSITIVE:

19.1 A) Who is sponsoring it? ____________________

B) How many houses will be served when it is completed?

All or almost all ________ Most ________ Some ________

Few ____________ Very few ____________

C) When will (did) construction start? ____________________

D) When will it be completed? ____________________

ELECTRIC SERVICE

20. Does this community have electric service?

Yes ____________ No ____________

IF THE RESPONSE IS POSITIVE:

20.1 Who operates it?

a) COMMUNITY ____________

b) MUNICIPALITY ____________

c) NATIONAL ELECTRICITY SERVICE ____________

d) OTHER (SPECIFY) ____________________

21. How many homes have electric service?;

________a) ALL or almost all

________b) Most

________c) Some

________d) Few

________e) Very few

22. Is there enough electricity when the system is working well?

YES ____________ NO ____________

23. Did the electric system shut down or reduce its capacity in the last year due to lack of water or fuel?

YES ____________ NO ____________

IF THE RESPONSE IS YES:

23.1 For how long? ____________________________________

24. In the past year, was the service reduced or shut down for maintenance?

YES ____________ NO ____________

IF THE RESPONSE IS YES:

24.1 For how long? ____________________________________

24.2 What was the problem? ____________________________________

____

25. Is there a plan approved for the construction or improvement of the electric system?

YES ____________ NO ____________

IF THE RESPONSE IS YES:

25.1 A) Who is sponsoring it? ____________________________________

B) How many houses will be served when it is completed?

ALL or almost all ________ Most ________ Some ________

Few ____________ Very few ____________

C) When will (did) construction start? ____________________

D) When will it be completed? ____________________________

26. Are there public street lights? YES ________ NO ______

IF YES:

26.1 Are they only in the center or throughout the community?

CENTER ____________ THROUGHOUT ____________

SANITARY SERVICE

27. How many homes have a toilet or a latrine?

_______________ a) All, almost all

_______________ b) Most

_______________ c) Some

_______________ d) Few

_______________ e) Very few or none

28. Is there a plan to build more toilets or latrines?

YES __________ NO __________

IF THE RESPONSE IS POSITIVE:

28.1 A) Who is sponsoring it? ______________________________

B) How many houses will be served when it is completed?

ALL or almost all _______ Most _______ Some _______

Few __________ Very few ______________

C) When will (did) construction start? ______________________________

D) When will it be completed? ______________________________

GARBAGE COLLECTION

29. Is there garbage collection here? YES _______ NO _______

IF YES, is garbage collected only in the center ____________ or

throughout the community? ____________________

30. Is there an approved plan to establish garbage collection or improve this service?

YES __________ NO __________

IF THE RESPONSE IS POSITIVE:

30.1 A) Who is sponsoring it? ______________________________

B) How many houses will be served when it begins?

All or almost all _______ Most _______ Some _______

Few __________ Very few ______________

C) When will (did) service begin? ______________________________

PUBLIC STREETS

31. What is the surface of the public streets in this community?

31.1 FOR EACH TYPE: How well maintained are these streets?

31.2 What type of surfacing is most found in the center of town?

Outside the center of town?

TYPE	GOOD FEW HOLES	REGULAR SOME HOLES	POOR MANY HOLES	MOST IN CENTER	OUTSIDE THE CENTER
Cobblestone					
Asphalt					
Gravel					
Dirt					

32. Is there a plan approved to improve public streets?

Yes ____________ No ______________

IF THE RESPONSE IS POSITIVE:

32.1 A) Who is sponsoring it? ______________________________

B) What does the plan consist of? ______________________________

____

____

C) When will (did) construction start? ______________________________

D) When will it be completed? ______________________________

HEALTH

33. Which of the following health services exist in your community?

HEALTH SERVICES	YES	NO	COMMENTS
1. Hospital			
2. Clinic			
3. Health post			
4. Laboratory			
5. Drugstore			
6. Mobile health unit (arrives)			
7. Ambulance (based in community)			
8. Doctor			
9. Dentist			
10. Nurse			
11. Midwife			
12. Health inspector (arrives)			
13. Malaria eradication team (arrives)			

34. In case of an emergency or major illness, where do the people generally go to get help?

NAME OF INSTITUTION ______________________________

LOCATION ______________________________

34.1 How much time does it take to travel to (NAME OF INSTITUTION IN QUESTION #34)

Dry Season ____________ Rainy Season ____________

34.2 How do people usually get there? ______________________________
(on foot, horse, bus, boat, airplace, railroad, etc.)

34.3 In case of an emergency is there transportation available?

Always _____ Sometimes ______ Rarely ______

EDUCATION

35. Is there a school here? Yes ________ No ________

36. Is there a high school here? Yes ________ No ________

What type? Academic ________ Agricultural ________

37. Does any school here need repair or expansion or should it be reconstructed?

Yes ________ No ________

37.1 Does any school need to be totally reconstructed or does a new school need to be built?
Yes ________ No ________

IF CONSTRUCTION, REPAIR, OR EXPANSION IS NEEDED, INDICATE THE SCHOOL/HIGH SCHOOL AND ITS NEEDS:

SCHOOL OR HIGH SCHOOL	REPAIR	EXPANSION	RECONSTRUCTION

GOVERNMENTAL SERVICES

38. Does your community have or receive any of the following governmental services or agencies listed below? [1]

AGENCY *	YES	NO	COMMENTS

* LIST AGENCIES THAT WORK IN RURAL AREAS

1 In Costa Rica the following institutions work in the rural areas:

- Agricultural extension
- Cooperative development
- Social welfare
- Public works
- Agrarian reform
- Training institute
- Crop agency
- Community development
- Municipal development
- Social security

39. Has the municipal government completed a project here in the last two years?

Yes ______________ No ______________

SPECIFY PROJECT: ____

RECREATION

40. Which of the following recreational facilities exist here?

	YES	NO
1. Square		
2. Park		
3. Sports field		
4. Other athletic areas/buildings (SPECIFY SPORT)		
5. Community meeting hall		
6. Library		
7. Other recreational facilities (SPECIFY)		

COMMUNITY ORGANIZATIONS

41. Which of the following organizations exist in your community?

41.1 FOR EACH ORGANIZATION: Does the (NAME OF ORGANIZATION) ______ meet regularly?

41.2 Has it carried out a project in the last year?

COMMUNITY ORGANIZATION*	EXIST		MEET REGULARLY	CARRIED OUT PROJECTS
	YES	NO		

* LIST TYPES OF COMMUNITY ORGANIZATIONS THAT EXIST IN RURAL AREA

41.3 Of these organizations, which would most likely sponsor a project for community betterment? ______________________________

____

AGRICULTURAL PROBLEMS

42. What are the principal problems of small farmers here? [1] ______________

____

____

____

____

____

CREDIT

43. In this community is there a:

CREDIT SOURCE *	YES	NO	NAMES
1. Bank			
2. An agency of the National Production Council that extends credit for farming			
3. A cooperative that loans money for farming			

*LIST DEPENDS ON EXISTING CREDIT MECHANISMS

---

1 The following problems were mentioned in Costa Rica:

1. High price or lack of insecticides, herbicides, chemical fertilizers and seed
2. Lack of high price of tools and machinery
3. Lack of credit
4. Lack of economic resources
5. Lack of land
6. Lack of roads
7. Lack of/or high price of transportation
8. Lack of technical assistance
9. Low prices for products
10. Over production
11. Lack of markets to sell products

44. When a small farmer here needs credit to work, where is he most likely to get it? [1]

____

45. What other sources of credit are used for agricultural production by small farmers?

____

46. What problems does the small farmer face when he tries to obtain credit from (SPECIFY ANSWER IN QUESTION #44)? [2]

____

____

____

____

47. What problems does the small farmer face when trying to obtain credit from (SPECIFY ANSWER IN QUESTION #46)?

____

____

____

____

---

1 In Costa Rica the following sources of credit exist:

1. Bank
2. Cooperatives
3. National Production Council
4. Private moneylenders
5. Large farm owners
6. Store owners
7. Intermediaries

2 In Costa Rica the following types of problems were mentioned:

1. GUARANTEES: Difficulties in getting co-signers, lack of land titles, etc.
2. ADMINISTRATIVE PROCEDURES: excessive red tape, slowness in getting money.
3. AVAILABILITY: Credit not available.
4. CREDIT SOURCES DO NOT EXIST OR SERVICE IS TOO FAR AWAY.
5. INTEREST: high interest rates, etc.

MARKETING

48. IN THE FOLLOWING TABLE, SPECIFY THE THREE PRINCIPAL PRODUCTS INDICATED IN QUESTION # 8.4. READ THE CATEGORIES AND MARK THOSE THAT ARE MOST USED FOR THE PRODUCT.

What system of marketing is most used here?

PRODUCT	SOLD TO INTERMEDIARY	SOLD DIRECTLY TO A PACKER, REFINERY, PROCESSOR, ETC.	SOLD TO COOPERATIVE	SOLD TO NATIONAL BUYING AGENCY	PRODUCER BRINGS OWN CROP TO MARKET TO SELL
Beef cattle					
Milk					
1.					
2.					
3.					

49. What problems does the small farmer have in marketing his products?

____

____

____

____

____

LAND

50. What size farm predominates in this community?

Small ___________ Medium ___________ Large ___________

51. In this community are there: (ORDER FROM THE CATEGORY WITH THE MOST TO THAT WITH THE LEAST)

CATEGORIES	YES	NO	ORDER
Private farms with land titles			
Private farms without land titles			
Farmers who only rent their land			
Sharecroppers			

52. The following table presents a list of problems that do or do not exist in your community or region. Mark accordingly.

ASPECTS OF PROBLEM*	A PROBLEM?		INTENSITY OF PROBLEM		
	YES	NO	VERY SERIOUS	NOT SERIOUS	SLIGHT
a) Lack of land titles					
b) Land owned by foreigners					
c) Lack of land to cultivate					
d) Land increasingly concentrated in the hands of a small minority					

*COULD BE OTHER PROBLEMS

PERCEPTION OF COMMUNITY PROBLEMS

53. Which are the two most urgent problems to solve in your community?

53.1 What help can the community give to solve this problem?

PROBLEM	HELP FROM COMMUNITY
1. ___________	___________
	___________
2. ___________	___________
	___________
	___________
	___________

54. What are other important community problems?

BUSINESS

55. Which of the following businesses exist in your community?

BUSINESS	QUANTITY
1. Supermarket	
2. Small grocery store	
3. Vegetable store	
4. Butcher shop	
5. Restaurant	
6. Other eating establishments	
7. Hardware store	
8. Agricultural supply stores	
9. Machine shop (agricultural and industrial)	
10. Gas stations	
11. Construction materials/Building supplies	
12. General store	
13. Clothing and fabric store	
14. Furniture store	
15. Barber shop	
16. Shoe store (where only shoes and leather articles are sold)	
17. Jewelry store	
18. Beauty salon	
19. Dance hall	
20. Bar	
21. Movie theatre	
22. Pool and billiard hall	
23. Book/stationery store	
24. Hotel	

55. continued

BUSINESS	QUANTITY
25. Rooming house	
26. Funeral home	
27. Photography studio	
28. Others (SPECIFY)	

EXAMPLES FROM COSTA RICA

OBSERVATION

56. TYPE OF POPULATION: TO BE CHECKED BY INTERVIEWER

_______________a) Strong central nucleus - homes and businesses concentrated in small central area

_______________b) Small nucleus of homes and businesses with disbursed houses

_______________c) No nucleus of homes and businesses

_______________d) Linear - most homes and businesses on highway or near railroad tracks (station) but large center of shops and homes

_______________e) Linear - small nucleus of homes and businesses

_______________f) Linear - no nucleus of homes and businesses

Chapter Nine

PRINCIPLES, PROBLEMS AND PROMISES

The chief problem with evaluation is that we think of it as we used to think of cod liver oil when we were children -- difficult to swallow because we really weren't convinced of the value of taking it. Another problem is that the current emphasis on evaluation has driven reason out the window, smothering a simple concept with alienating jargon. And last, evaluation, as a concept in development assistance, is somewhat new, and therefore inadequately tested. That brings us back to the beginning; we aren't yet convinced of its value, as seen by the time and money committed in our plans and budgets.

As we have sat together to tell each other how we understand and use evaluation within each agency, we have begun to see that it does have value -- to the agencies in improving program impact, to their donors in establishing the usefulness of funding, and most importantly -- for fostering the participation of the "beneficiaries" in their own development.

We agreed upon certain principles:

1) Evaluation is valuable. If we don't know where we are going, we may end up somewhere else.

2) The main thing is to learn, and to apply what we have learned.

3) The people are the experts, not development assistance agencies.

4) Our role is to facilitate the interaction of people in search of solutions.

5) There are many ways to do evaluation and needs assessment. The best is the simplest and most practical for the action program it is related to. It should be one that affirms the decision-making of the participants.

6) The key is allowing time and restraining resources while maximizing learner participation.

Predictably, we raised more questions than we answered. Many of the problems we identified can only be posed at this point, but the fact that they are better questions is hopeful. They are listed here as a mutual agenda for action:

1) How can we harmonize and synthesize the needs of the people with the needs of the development assistance agency? We need to question our assumption that they are the same. How can we have a common approach?

2) We don't know how to effect the participation of villagers. Some people in the community are "invisible" (women who worked in the fields and men who were often away in the Zaire example). How can they be involved? Participation may not be a way of life; cultural and political factors affect participation.

3) Can the process of evaluation/needs assessment do harm? Needs and problems are particularly Western concepts and may not be culturally relevant. We are not sure of the effect of evaluation/needs assessment on changes in values and way of life. Needs assessment and project activity may threaten the community.

4) We can identify needs, but what do we do about critical resource limits?

5) How can we turn needs assessment into action? Administrators seldom use research. We have to interest governments and funding sources.

6) The problem is never technical; it is how one motivates the people. The greatest barrier to mutually supportive relationships is a narrow "expert" attitude. How can we change our own attitudes, and those of the people who may be dependency-oriented?

7) It is difficult to communicate the results of needs assessment back to the community. How can this feedback be facilitated and institutionalized? The promise for the future is that the problems are being identified and addressed -- successfully. Less costly, time-consuming and more appropriate forms of evaluation are being devised by development assistance agencies. We have, for example, established that a group of people knowledgeable about the community can give valid data about that community (AITEC). This mitigates the time and money problems of individual interviews and overcomes sampling bias. Another agency experience demonstrates that when "rural women's experiences, views, and ideas are directly incorporated into the curriculum, and when learning experiences revolve around their active participation, then the desired cognitive, attitudinal, and behavioral changes are more likely to take place." (World Education). Means of involving villagers who have few resources, who are illiterate, and who may be initially distrustful of outsiders have been devised and are in the process of further development.

This sharing of experiences is but the beginning; each reader is encouraged to build on this foundation, and to widen the circle of communication.

A F T E R W O R D

EVALUATING EVALUATION

James Cotter

Let us speak frankly about evaluation because there is no longer world enough nor time for the comforts of self-delusion. A throaty roar can be heard outside the palace gates as the constituency of many organizations demands to be told what difference the efforts of development agencies have made. The crowd grows hostile and is no longer satisfied with Reader's Digest anecdotes about happier poor people with gratitude in their hearts. They protest the terminal frustration induced by development agency performance statistics which steadily improve while the problems obviously get worse.

The Inter-American Foundation is now grappling with a process of self-evaluation with a shared commitment to "sunset" (a euphemism for self-destruction) if we don't like the answers. The staff agrees that organizational suicide is preferable to institutional preservation through the bureaucratization of irrelevance. After that anxiety-producing tension we began to evaluate the projects we had funded over the past five years to see what we could learn about them and ourselves.

We wanted to learn much more than whether the projects had accomplished their stated goals and objectives. We wanted to learn what difference our decision to fund a project activity in a specific time and place made to the underlying social change process of which it was allegedly a part. Did we fund the right people to do the right thing at the right time and place? Right or wrong in whose terms? What makes our funding presence harmonious and creative? What tends to make it intrusive and disruptive of indigenous change processes which would have been better left alone?

In traditional terms we are evaluating our project experience. But we reject the approach of pre-determining rigid criteria for success and then seeing how well or how badly the grantees measure up to our standards of performance. Informed, consistent decision-making requires criteria consonant with institutional values, and quality-control is the natural extension of responsible stewardship. The project experience is seen as mutual learning, shared goals and maximum respect for the beneficiaries' integrity and vision.

Quality-control is important and it is reasonable to ask what standard of living gains resulted from the project. But it is simplistic to ask only that. Social justice, cultural integrity, esteem, status and many other components of quality of life do not easily lend themselves to quantification. But they are no less important than traditional growth/production statistics. What sense does it make to gather increased income statistics while ignoring that the employment created by the project is de-humanizing, exploitative and creates more problems than it solves?

We have developed a social accounting mechanism which articulates social gains and/or losses (Social Gains Indicator Analysis) in terms of indicators drawn directly from the beneficiary's perception of quality of life. This correlates with a system of diagnostic norms (Vital Signs) used to analyze a project's internal dynamics prior to a funding decision.

The original funding documentation explains how and why the decision was made, anticipated impact, obstacles and/or resistance, the implicit social change assumptions, risks and learning agendas. The subsequent learner/evaluator builds on these and other shared concerns including:

- What contextual factors (time, place, people, trends) could reasonably be expected to influence success or failure of the project?

- What kind of impact indicators or benchmarks signaling success or failure do the beneficiaries feel are most relevant? These should include economic feasibility and the anticipated social costs and trade-offs.

- How does the Foundation's funding presence affect the socio-economic, cultural, political and psychological equilibrium in which the project functions?

- Do the project's problem-solving means and ends appear to be value consonant (reinforcing) or conflictive (divisive of the community)?

- Does the project claim to be transferable or replicable and if so what kind of preconditions and available resources would be required?

There are many other considerations which demand discussion in order to avoid overly simplifying complex concepts which can lead to errors and simplistic attempts at implementation. The Foundation is pleased to have participated in these Workshops and is willing to share what we are learning and the issues and dilemmas which remain, to the limits of our ability. Hopefully the dialogue will be mutually productive.

Apendix A

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Appendix B

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